

## ADMINISTRATIVE INDICATORS & GUIDANCE

### Review Year July 2012 through June 2013

The Guidance is provided as a resource to assist agencies with understanding Key Indicators. The Guidance is not intended to be, nor should be, considered as the ultimate defining resource. It should be, as inferred by its title, a GUIDANCE designed to assist. State and Federal standards including policies and procedures are the ultimate resources for establishing the requirements for an Indicator.

A1	Administrative Issues	Guidance
A1-01	For those for whom outlier status has been approved due to the need for enhanced staff support, the Board / Provider provides the additional support as outlined in the approved request	<p>250-11-DD requires that residential service providers must retain staff schedules that document the increased level of supervision is being provided.</p> <p>Using the staffing schedule submitted by the provider and approved by SCDDSN, review the documentation that certifies that the enhanced staff support was provided (100% sample for the last quarter of the year in review) and compare with actual time sheets (showing hours actually worked) to determine if the enhanced staff support was provided.</p> <p>Source: MOA DDSN/HHS, 250-11DD (3/31/09)</p>
A1-02	For those for whom outlier status has been approved due to the need for 1:1 staff support, the Board / Provider provides the additional support as outlined in the approved request	<p>At the end of each shift that 1:1 Supervision was provided the direct care staff assigned to provide the 1:1 supervision must document that the 1:1 supervision was provided.</p> <p>Reviewers: Using the staff schedule submitted by the provider and approved by SCDDSN, review the documentation that certifies that the 1:1 supervision was provided (100% sample for the last quarter of the year in review) and compare with actual time sheets (showing hours actually worked) to determine if the 1:1 staff was provided.</p> <p>Source: MOA DDSN/DHHS, 250-11DD (3/31/09)</p>
A1-03	The Board / Provider has a Human Rights Committee that is composed of a minimum of 5 members and includes representation from a family member of a person receiving services, a person representing those receiving services or a self-advocate nominated by the local self-advocacy group, and a representative of the community with expertise or a demonstrated interest in the care and treatment of persons (employees or former employees must not be appointed)	<p>Review Board / Provider Policy regarding the Human Rights Committee. Review membership of the Board / Provider's Human Rights Committee to ensure that membership consists of the required persons and that none are employees or former employees. Membership should reflect cultural, racial, and disabilities diversity. Exceptions to the minimum and composition must be approved by the Associate State Director, Policy.</p> <p>Note: South Carolina Code Ann. 44-26-70 (Supp. 2007) requires that each DDSN Regional Center and DSN Board establish a Human Rights Committee. Contract service providers may either use the Human Rights Committee of the local DSN Board or establish their own Committee. Contract providers must have formal documentation of this relationship.</p> <p>*Apply the Admin. Indicators regarding Human Rights Committee and Risk Management to all Providers</p> <p>Source: South Carolina Code Ann. 44-26-70 (Supp. 2007) and 535-02-DD Supports CQL Basic Assurances Factor 1, Shared Values Factor 2</p>

A1-04	The Human Rights Committee will provide review of Board / Provider practices to assure that consumer rights are protected	<p>Review Board / Provider HRC policy to assure that its defined role and responsibilities are consistent with those set forth in DDSN policy 535-02-DD.</p> <p>Review Board / Provider HRC meeting minutes (100% sample) to determine if the HRC is fulfilling the role and responsibilities as set forth in its policy.</p> <p>Review Board/ Provider HRC meeting minutes/training records (100% sample) to determine if the HRC members have received training as described in DDSN policy 535-02-DD.</p> <p>Note: Effective 6/30/08 the person must be invited to attend HRC meetings when those meetings concern their care/treatment.</p> <p>*Apply the Admin. Indicators regarding Human Rights Committee and Risk Management to all Providers</p> <p>Source: 535-02-DD</p> <p>Supports CQL Basic Assurances Factor 1, Shared Values Factor 2</p>
A1-05	The Board / Provider employ Service Coordination Staff who meet the minimum requirements for the position	<p>Determine from personnel records if the minimum requirements for employment were met or if an exception to the requirement was granted by SCDDSN. Review</p> <ul style="list-style-type: none"> <li>• All Service Coordinators hired during the review period,</li> <li>• All SC Assistants,</li> <li>• 25% or 5 experienced Service Coordinators (hired prior to review period) and</li> <li>• All Service Coordinator Supervisors.</li> </ul> <p>Refer to SCDDSN Service Coordination Standards for educational and vocational requirements.</p> <p>Source: DDSN Service Coordination Standards</p>
A1-06	The Board / Provider employ Early Intervention Staff who meet the minimum requirements for the position	<p>Determine from personnel records if the minimum requirements for employment were met or if an exception to the requirement was granted by SCDDSN. Review</p> <ul style="list-style-type: none"> <li>• All EI's hired during the review period,</li> <li>• 25% or 5 experienced EI's (hired prior to review period)</li> <li>• All EI Supervisors</li> </ul> <p>See Early Intervention Standards for educational, vocational and credentialing requirements.</p> <p>Source: EI Manual</p>
A1-07	The Board / Provider employ Residential Staff who meet the minimum requirements for the position	<p>Determine from personnel records if the minimum requirements for employment were met or if an exception to the requirement was granted by SCDDSN. Review</p> <ul style="list-style-type: none"> <li>• 25% of Residential Staff hired during the review period,</li> <li>• 10% or 5 experienced Residential Staff hired prior to review period)</li> <li>• All Residential Supervisors.</li> </ul> <p>Refer to SCDDSN Residential Habilitation Standards for educational and vocational requirements.</p> <p>Source: DDSN Residential Habilitation Standards</p>
A1-08	The Board / Provider employ Day Services Staff who meet the minimum requirements for the position	<p>Determine from personnel records if the minimum requirements for employment were met or if an exception to the requirement was granted by SCDDSN. Review</p> <ul style="list-style-type: none"> <li>• 25% of Day Services Staff hired during the review period,</li> <li>• 10% or 5 experienced Day Services Staff hired prior to review period) and all Day Services Supervisors</li> </ul> <p>Refer to SCDDSN Day Services Standards for educational and vocational requirements.</p> <p>Source: DDSN Day Service Standards</p>

A1-09	The Board / Provider employs/ contracts Respite/ Home Support staff who meet the minimum requirements for the position	<p>Determine from personnel records if the minimum requirements for employment were met or if an exception to the requirement was granted by SCDDSN. Review</p> <ul style="list-style-type: none"> <li>• 25% of Respite/ Home Support Staff hired/ contracted during the review period,</li> <li>• 10% or 5 experienced Staff/ contractors hired prior to review period.</li> </ul>
A1-10	Service Coordination staff receive training as required	<p>Review personnel files to determine if training occurred as required.</p> <p>Review</p> <ul style="list-style-type: none"> <li>• All Service Coordinators hired during the review period,</li> <li>• All SC Assistants,</li> <li>• 25% or 5 experienced Service Coordinators (hired prior to review period) and</li> <li>• All Service Coordinator Supervisors.</li> </ul> <p>Refer to Service Coordination Standards and SCDDSN Policy 534-02-DD regarding staff training related to abuse, neglect and exploitation and SCDDSN Policy 567-01-DD regarding HIPPA Training.</p> <p>Service Coordination staff must be provided training and must demonstrate competency in the following topic areas:</p> <ul style="list-style-type: none"> <li>• SCDDSN Service Coordination Standards (including but not limited to, Assessment, Care Planning, Referral and Linkage, Monitoring or Follow-up and reportable and non-reportable activities including service documentation),</li> <li>• SCDDSN policies and procedures applicable to Service Coordination, Rights, Local, State, and Community Resources, Access to and use of CDSS/STS, Nature of ID/RD, Autism, traumatic brain injury, spinal cord injury and similar disability (as appropriate), Abuse and Neglect, and Confidentiality.</li> </ul> <p>After the first year of employment, all Service Coordination staff must receive a minimum of 10 hours of training annually on topics related to the provision of Service Coordination services and must include training on Abuse and Neglect and Confidentiality.</p> <p>Source: DDSN Service Coordination Standards , Supports CQL Shared Values Factors 8 &amp; 10</p>
A1-11	Early Intervention staff receive training as required	<p>Review personnel files to determine if training occurred as required.</p> <p>Refer to Early Intervention Standards and SCDDSN Policy 534-02-DD regarding staff training related to abuse, neglect and exploitation and SCDDSN Policy 567-01-DD regarding HIPPA Training.</p> <p>After the first year of employment, all Early Intervention staff must receive a minimum of 10 hours of training annually on topics related to the provision of services and must include training on Abuse and Neglect and Confidentiality.</p> <p>Review</p> <ul style="list-style-type: none"> <li>• All EIs hired during the review period,</li> <li>• 25% or 5 experienced EI's (hired prior to review period)</li> <li>• All EI Supervisors</li> </ul> <p>To ensure that they received initial and ongoing training as documented in their personnel file or records</p> <p>Source: Early Intervention Standards and SCDDSN Policy 534-02-DD DDSN</p>

A1-12	Residential staff receive training as required	<p>Review personnel files to determine if training occurred as required.</p> <p>Refer to Residential Habilitation Standards and SCDDSN Policy 534-02-DD regarding staff training related to abuse, neglect and exploitation and SCDDSN Policy 567-01-DD regarding HIPPA Training.</p> <p>After the first year of employment, all Residential staff must receive a minimum of 10 hours of training annually on topics related to the provision of services and must include training on Abuse and Neglect and Confidentiality.</p> <p>Review</p> <ul style="list-style-type: none"> <li>• 10% or 5 residential staff hired during the review period,</li> <li>• 10% or 5 experienced residential staff (hired prior to review period)</li> <li>• All Residential Supervisors</li> </ul> <p>To ensure that they received initial and ongoing training as documented in their personnel file or records</p> <p>Source: Residential Habilitation Standards and SCDDSN Policy 534-02-DD</p>
A1-13	Day Services staff receive training as required	<p>Review personnel files to determine if training occurred as required.</p> <p>Refer to Day Services Standards and SCDDSN Policy 534-02-DD regarding staff training related to abuse, neglect and exploitation and SCDDSN Policy 567-01-DD regarding HIPPA Training.</p> <p>After the first year of employment, all Day Services staff must receive a minimum of 10 hours of training annually on topics related to the provision of services and must include training on Abuse and Neglect and Confidentiality.</p> <p>Review</p> <ul style="list-style-type: none"> <li>• 10% or 5 day services staff hired during the review period,</li> <li>• 10% or 5 experienced day services staff (hired prior to review period) and</li> <li>• All day services supervisors</li> </ul> <p>To ensure that they received initial and ongoing training as documented in their personnel file or records</p> <p>Source: Day Services Standards and SCDDSN Policy 534-02-DD, 567-01-DD</p>
A1-14	Respite/ Home Supports staff/ contractors receive training as required	<p>Review personnel files to determine if training occurred as required.</p> <p>Refer to SCDDSN Policy 534-02-DD regarding staff training related to abuse, neglect and exploitation and SCDDSN Policy 567-01-DD regarding HIPPA Training.</p> <p>After the first year, there must be documentation of training, as required, related to the provision of services. There must be annual training on Abuse and Neglect and Confidentiality. In addition, First Aid training must take place every other year through a certified program.</p> <p>Review</p> <ul style="list-style-type: none"> <li>• 10% or 5 respite/ home supports staff/ contractors hired during the review period,</li> <li>• 10% or 5 experienced (hired prior to review period)</li> </ul> <p>To ensure that they received initial and ongoing training as documented in their personnel file or records</p> <p>Source: SCDDSN Policy 534-02-DD and SCDDSN Policy 567-01-DD</p>

A1-15	Board / Provider implements a risk management and quality assurance program consistent with 100-26-DD and 100-28-DD	<p>Board / Provider demonstrates implementation of risk management/quality assurance principles by:</p> <ul style="list-style-type: none"> <li>• designated risk manager and a risk management committee;</li> <li>• written policies/procedures used to collect, analyze and act on risk data</li> <li>• documentation of remediation taken</li> <li>• correlating risk management activities with quality assurance activities.</li> </ul> <p>*Apply the Admin. Indicators regarding Human Rights Committee and Risk Management to all Providers</p> <p>Source: 100-26-DD and 100-28-DD Supports CQL Basic Assurances Factors 6 &amp; 10</p>
A1-16	Board / Provider follows SCDDSN procedures regarding preventing, reporting and responding to abuse / neglect / exploitation as outlined in 534-02-DD	<p>Board / Provider demonstrates usage of the most current abuse/neglect/exploitation county profile data report to:</p> <ul style="list-style-type: none"> <li>• evaluate provider specific trends over time</li> <li>• evaluate/explain why the provider specific ANE rate is over, under or at the statewide average</li> <li>• demonstrate systemic actions to prevent future abuse/neglect/exploitation</li> </ul> <p>Source: 534-02-DD Supports CQL Basic Assurances Factors 4, 6, &amp; 10</p>
A1-17	Board / Provider follows SCDDSN procedures regarding preventing, reporting and responding to critical incidents as outlined in 100-09-DD	<p>Board / Provider demonstrates usage of the most current critical incident county profile data report to:</p> <ul style="list-style-type: none"> <li>• evaluate provider specific trends over time</li> <li>• evaluate/explain why the provider specific CI rate is over, under or at the statewide average</li> <li>• demonstrate systemic actions, as applicable, to prevent future incidents</li> </ul> <p>Source: 100-09-DD Supports CQL Basic Assurances Factors 4, 5, 6, &amp; 10</p>
A1-18	Board / Provider follows SCDDSN procedures regarding death or impending death as outlined in 505-02-DD	<p>Board / Provider demonstrates usage of the most current death county profile data report to:</p> <ul style="list-style-type: none"> <li>• evaluate provider specific trends over time</li> <li>• evaluate/explain why the provider specific death rate is over, under or at the statewide average</li> <li>• demonstrate systemic actions, as applicable, to prevent future occurrences</li> </ul> <p>Source: 505-02-DD Supports CQL Basic Assurances Factor 10 and Shared Values Factor 10</p>
A1-19	The Board / Provider follows SCDDSN procedures regarding Medication Error/ Event Reporting, as outlined in 100-29-DD	<p>Determine if the Board / Provider has developed an internal database to record, track, analyze, and trend medication errors or events associated with the administration of medication errors.</p> <p>Proactive analysis of trends should be coupled with appropriate corrective actions. These actions may include, but are not limited to, additional training (including medication technician certification), changes in procedure, securing additional technical assistance from a consulting pharmacist or other medical professional, and improving levels of supervision. If medication errors have been recorded, but not analyzed, the standard has not been met.</p> <p>Source: 100-29-DD Supports CQL Basic Assurances Factor 5</p>

A1-20	Upper level management staff of the Board / Provider conduct quarterly unannounced visits to all residential settings to assure sufficient staffing and supervision are provided. SLP II should include visits to all apartments	<p>When a residential setting does not utilize a shift model for staffing (e.g. CTH I and SLPI) visits need only to be conducted quarterly. Managers should not visit homes they supervise, but should visit homes managed by their peers. Senior management may visit any/all of the homes. Documentation of the visit must include the date and time of the visit, the names of the staff/caregivers and residents present, notation of any concerns and actions taken in response to noted concerns. Please note: It is not necessary to visit individual SLP II apartments during 3<sup>rd</sup> shift, although 3<sup>rd</sup> shift checks to the complex/staff review are still required.</p> <p>*Quarterly = 4 times per year with no more that 4 months between visits.</p> <p>Source: Contract...Capitated Model Article III Supports CQL Basic Assurances Factor 10</p>
A1-21	Board / Provider keep service recipients' records secure and information confidential	<p>Determine if records are maintained in secure locations. Look for evidence that confidential information is kept confidential. Consider the following:</p> <ul style="list-style-type: none"> <li>• Are any records in public areas or in areas that are not secure including lying on desks in empty offices, etc?</li> <li>• Is personal information in conspicuous locations or posted in common areas?</li> <li>• Is information about one person found in another person's file? (Cite only if two or more occurrences)</li> <li>• Are records/information provided or released without consent including by the phone?</li> <li>• Are computers and fax machines in easily accessible public areas with incoming/outgoing information left on/around the machine?</li> <li>• Are staff heard discussing information about clients in restrooms, hallways, etc. in a manner that clearly identifies the person about whom they are speaking?</li> </ul> <p>Source: 167-06-DD</p>

A1-22	Provider agency of HASCI Division Rehabilitation Supports (RS) maintains required administrative records for the RS Program	<p>Review agency administrative records to confirm presence of the following:</p> <ul style="list-style-type: none"> <li>• Documentation of qualifications of RS Staff, including RS Coordinator, RS Specialist and Clinical Professional providing tiered clinical supervision of the RS Program if the RS Coordinator is not a “Licensed or Master’s level Clinical Professional” as defined by SCDHHS (<i>RS Manual – Appendix A</i>)</li> <li>• Documentation of Pre-Service Training of RS Specialists to include date, amount of time, those in attendance, name of trainer(s), and topic(s) covered</li> <li>• Documentation of In-service Training of RS Specialists to include date, amount of time, those in attendance, name of trainer(s), and topic(s) covered</li> <li>• Documentation of at least monthly Staff Meetings (individual or group) conducted by the RS Coordinator with RS Specialist(s) to include date, those in attendance, person(s) discussed, forms reviewed and signed, other issues addressed, and any recommendations made by the RS Coordinator</li> <li>• If the RS Coordinator is not a “Licensed or Master’s Level Clinical Professional” as defined by SCDHHS (<i>RS Manual – Appendix A</i>), documentation of at least monthly meetings of RS Coordinator with a qualified Clinical Professional to include date, persons/staff discussed, forms reviewed and co-signed, other issues addressed, and any recommendations made by the Clinical Professional</li> <li>• Documentation of any individual case consultations provided by the RS Coordinator or Clinical Professional if not in a person’s RS Record, to include name of consumer, date, those in attendance, issues addressed, and any recommendations made</li> <li>• Waiting list for Rehabilitation Supports to include name of consumers and date added to/removed from waiting list</li> </ul> <p>Source: Rehabilitation Supports Manual</p>
A1-23	Board / Provider conducts all residential admissions / discharges in accordance with 502-01-DD	<p>Review all “Community Residential Admissions/Discharge Reports” submitted to DDSN. Review relevant supporting documentation to assure all of the admissions / discharge criteria stipulated in 502-01-DD were met. Compare “Community Residential Admissions / Discharge Reports” against relevant CDSS/STS data to assure actual admissions / discharges and transfers do not occur prior to DDSN approval (District Office and Central Office) and all systems (SPM and CDSS) are updated timely.</p> <p>Also, verify that the home is properly licensed for the number of people intended to live there, including the new admission, on the admission date.</p> <p>Source: 502-01-DD</p>
A1-24	Annually, employees are made aware of the False Claims Recovery Act, that the Federal government can impose a penalty for false claims, that abuse of the Medicaid Program can be reported and that reporters are covered by Whistleblowers’ laws	<p>Review the annual statement that all employees sign concerning fraud, abuse, neglect, and exploitation of consumers to determine if it also contains a statement that (1) the employee is aware of the False Claims Act and that the Federal Government can impose a penalty on any person who submits a false claim to the federal government that he/she knows or should know is false; (2) they are aware that they can report abuse of the Medicaid program; and, (3) they are protected by “Whistleblower Laws.”</p> <p>Source: Contract for ... Capitated Model and Source: Contract for ... Non-Capitated Model</p>

A1-25	Service Coordination providers must have a system that allows access to assistance 24 hours daily, 7 days a week	Test the system by making calls before/after normal business hours.
A1-26	The Residential Habilitation provider must have procedures that specify the actions to be taken to assure that <u>within 24 hours</u> following a visit to a physician, Certified Nurse Practitioner (CNP), or Physician's Assistant (PA) all ordered treatments will be provided	<p>Verify that a system is in place that specifies actions to be taken to assure that within 24 hours following a visit to a physician, CNP, or PA, all ordered treatments will be provided.</p> <p>Source: Residential Habilitation Standard RH 5.0 Supports CQL Basic Assurances - A3.</p>

A2	Fiscal Issues	Guidance
A2-01	The Governing Board approves the annual budget and Comprehensive Financial Reports are presented at least quarterly to the Governing Board with a comparison to the approved budget	<p>Review Governing Board Minutes for evidence that the Board approves the annual budget and reviews Financial Reports at least on a quarterly basis.</p> <p>Source: Contract for ...Capitated Model and Contract for Non-Capitated Model Supports CQL Basic Assurances Factor 10</p>
A2-02	<p>Annual Audit Report is presented to Governing Board once a year and includes the written management letter</p> <p>*Board Providers Only</p>	<p>Review Governing Board minutes to determine if the final annual audit report and any management letter comments are presented by the external auditor or CPA to the Governing Board.</p> <p>Source: 275-04-DD Supports CQL Basic Assurances Factor 10</p>
A2-03	<p>The person's financial responsibility is made known to them by the Board / Provider</p> <p>*All Residential Providers</p>	Determine that a Statement of Financial Rights exists and was completed when the person was admitted to the residential program. This form should be signed by the person or his/her parent, guardian, or responsible party.



## GENERAL AGENCY INDICATORS & GUIDANCE

### Review Year July 2012 through June 2013

The Guidance is provided as a resource to assist agencies with understanding Key Indicators. The Guidance is not intended to be, nor should be, considered as the ultimate defining resource. It should be, as inferred by its title, a GUIDANCE designed to assist. State and Federal standards including policies and procedures are the ultimate resources for establishing the requirements for an Indicator.

G1	Service Coordination Non-Waiver	Guidance
G1-01 R	The Plan is developed by the Service Coordinator within 365 days	<p><b>Review current Plan. A current Plan must be present. A current Plan is defined as one completed within the last 365 days. When there is a leap year, the plan date would be calculated accordingly to ensure the plan is developed and signed within 365 days.</b></p> <p><b>Except for those transferring from an ICF/ID, Plans must be entered into the Consumer Data and Support System (CDSS) using the Consumer Assessment and Planning (CAP) module unless otherwise approved by the SCDDSN Director of Service Coordination. The Plan implementation date is the date a plan is completed in the CAP module of CDSS.</b></p> <p><b>For those receiving Level 1 Service Coordination, a plan must be completed on CDSS:</b></p> <ul style="list-style-type: none"> <li>• <b>By the 45th calendar day following the determination of eligibility for SCDDSN services</b></li> <li>• <b>Within 365 days of the last plan</b></li> <li>• <b>By the 45th day of being transferred from Level II Service Coordination</b></li> <li>• <b>By the 45th day of being transferred from Early Intervention</b></li> <li>• <b>Before Waiver Services are authorized/provided.</b></li> </ul> <p><b>Source: Support Plan Instructions and the Service Coordination Standards.</b></p>
G1-02	Needs in the Plan are justified by formal or informal assessment information in the record	<p><b>Review the Service Coordination record to determine if formal or informal assessment information is available to justify the “need” noted on the Plan for which interventions are being implemented. The assessment information (formal or informal) must be current and accurate. Formal and/or informal assessments may include information provided by the person and/or his/her caregivers about the person’s current situation, medical status, school records or other formalized assessment tools.</b></p> <p><b>At the time of annual planning, the <i>SCDDSN Service Coordination Annual Assessment</i> will be used to identify needs and justify services/interventions reflected in the Support Plan. The <i>SCDDSN Service Coordination Annual Assessment</i> (SCAA) must be completed on the CAP module of CDSS unless otherwise approved by SCDDSN. Information from providers currently providing services should be considered in planning. The record should reflect attempts to secure information from all current service providers. Attempts should be made in sufficient time prior to planning so that information can be secured. If the person is enrolled in the Waiver, then formal or informal assessments and recommendations for all Waiver services will be present.</b></p> <p><b>Needs assessment during the course of the year <i>outside</i> of annual planning will be documented in the service notes.</b></p> <p><b>Source: “Guidelines on How to Complete the SCDDSN Annual Service Coordination Assessment”, Support Plan Instructions, Service Coordination Standards, Waiver Manuals pertaining to needs assessment.</b></p>

G1-03	Services/ Interventions are appropriate to meet assessed needs	<p>Interventions are identified to address assessed “needs”.</p> <p>Interventions must have a logical connection to the need.</p> <p>Source: “<i>Guidelines for Completion of the SCDDSN Service Coordination Annual Assessment</i>” for defined resources and the Service Coordination Standards glossaries. Also, reference Service Coordination Standards and Waiver Manuals.</p>
G1-04	The Plan identifies appropriate funding sources for services/interventions	<p>Appropriate funding sources are identified for every service/intervention. Review the person’s “current resources” identified in the SCDDSN Service Coordination Annual Assessment (or the service notes when needs assessment occurs outside of planning and resources have changed from those noted on the Plan) to determine what resources the person has. Compare the person’s resources to the services/interventions noted on the Plan to determine if the appropriate funding source is listed for the service/intervention to be/being provided.</p> <p>Source: “<i>Guidelines for Completion of the SCDDSN Service Coordination Annual Assessment</i>” for defined resources and the Service Coordination Standards glossaries. Also, reference Service Coordination Standards and Waiver Manuals.</p>
G1-05	The Plan is amended / updated as needed	<p>Review all plans and service notes in effect during the review period to determine if:</p> <ol style="list-style-type: none"> <li>updates are made when new service needs or interventions are identified,</li> <li>there have been significant changes in the person’s life,</li> <li>a service is determined to not be effective,</li> <li>a need/s has/have been met,</li> <li>the person is not satisfied.</li> </ol> <p>When any part of the “Needs/Interventions” section (Section D) of the plan is no longer current, an amendment/update must be completed using the CAP module of CDSS. It is acceptable to have a brief service note provided the change/update is explained in detail on the “needs change” form printed from the CAP module of CDSS for the file. For new needs identified during the course of the year, needs assessment and identification of the need will be in the service notes and, if applicable, a new “needs/interventions” page will be added to the plan using the CAP module of CDSS. Plan must be current at all times.</p> <p>Source: Support Plan Instructions, Service Coordination Standards and Waiver Manuals.</p> <p>Supports CQL Shared Values Factor 8</p>
G1-06	The Plan is reviewed at least every 6 months	<ol style="list-style-type: none"> <li>Review the Plan to determine if all needs and interventions were reviewed as often as needed, but at least every 6 months.</li> <li>Ensure that needs and interventions were implemented as prescribed in the Plan.</li> </ol> <p>Six Month reviews are completed on the CAP module of CDSS. Monitoring/review forms on CAP include all of the necessary components of monitoring</p> <p>Refer to Service Coordination Standards and Support Plan Instructions</p>

G2 Service Coordination Non-Waiver		Guidance
G2-01 W	Contact occurs as required:  a) Face-to-face contacts occur every 6 months  b) Every other month (bi-monthly), at least one contact (as defined by SC Standards) is made	Beginning 7/1/11, review to determine that:  a) Face-to-face visits occur every 6 months and are with the person receiving services and/or legal guardian. b) At least one contact is made every other month (bi-monthly).  A contact is defined as any of the following: <ul style="list-style-type: none"> <li>• A face-to-face encounter for the purpose of performing a core function.</li> <li>• A telephone call, letter or email when a face-to-face contact is not required or is not possible for the purpose of performing a core function</li> </ul> Source: Service Coordination Standards
G2-02 W	If determined eligible for DDSN services after 9/2001, an eligibility correspondence from the CAT is on file	Review the Service Coordination record for SCDDSN Eligibility Determination Correspondence (correspondence from the Consumer Assessment Team regarding the person's eligibility. If prior to 9/01, information may not be available from the Consumer Assessment Team; therefore, absence of eligibility information prior to 9/01 should not be held against the provider.  Source: Service Coordination Standards
G2-03	A valid Service Agreement is present and signed as appropriate	A valid Service Agreement (review most recently completed Service Agreement to assure that it is dated and signed.) For children and for adult's adjudicated incompetent, the current legal guardian (if applicable) must sign the form. For those 18 years and older or those with a name change, a new Service Agreement should be signed by the person. The most current Service Agreement that is signed and dated by the appropriate party must be filed in the primary case record. Score "Not Met" if there is not a Service Agreement in the primary case record and/or it is not signed and dated by the appropriate party. If a person is unable to sign but can make their "mark", the mark must be witnessed. If a person is unable to sign or make their mark on the Service Agreement, there will be an explanation on the form and supporting documentation in the file.  Source: Service Coordination Standards
G2-04	Upon notification of an identified health care need, the Service Coordinator has provided information for, offered choice of and monitored a person's access to health care services/providers (inclusive of primary health care provider / physician) when health care needs are identified	As needs are identified for health care, the person's options for health care and choice of health care providers were discussed to make sure the person has accessed health care to address needs. The record clearly reflects the person/legal guardian's (if legal guardian is applicable) decision not to have a primary physician, or if the record reflects the person has a primary physician and is satisfied with his/her physician, the record does not have to show that the Service Coordinator provided information for and offered choice of primary healthcare services/providers. All persons must have a choice of physician/specialist for healthcare needs even if the Board / Provider contracts with a physician unless there are no other physicians in the area. Medical records/reports can serve as a form of assessment provided the Service Coordinator has addressed all recommendations from those reports and by providing information (understanding of options of care and choice of providers) and monitoring access of healthcare services as a result of the recommendations. NOTE: Where there is no reasonable choice available due to the presence of only one qualifying physician within a reasonable distance, this item should be scored "Met" reflecting compliance provided that this is documented in the record.

		Source: Service Coordination Standards Supports CQL Basic Assurances Factors 5 & 9, Shared Values Factor 3
G2-05	The person/legal guardian (if applicable) will receive information on abuse and neglect annually	Check the record for documentation that information was provided to person/legal guardian. This may be found in service notes or as a form letter in the record. Information must define what abuse and neglect is and how to report.  Source: Service Coordination Standards; CQL Basic Assurances 1, 2, 4,10
G2-06	Beginning 3/1/2011, at the time of annual planning, all children enrolled in the ID/RD or CS Waiver receiving CPCA services must have a newly completed physician's order (Physician's Information Form – MSP Form 1), assessment (CPCA Assessment – MSP Form 2), and authorization (MSP – Form 3)	See MSP forms/attachments in the miscellaneous Chapters of the ID/RD and CS Waiver Manuals.
G2-07	If a child is assessed to need over 10 hours of Children's PCA services per week, DDSN prior authorization is obtained	Review file for an email correspondence giving approval of requested units of CPCA services. If service units were not approved prior to initiation of the service, or prior to the completion of the annual plan, there must be a correspondence present allowing flexibility with approval.
G2-08	If a child receives CPCA services, the Service Needs Requirement and, unless otherwise specified, a Functional deficit exists (check only for those receiving 10 hours or less of CPCA services)	Refer to CPCA services section of the Waiver Manual (Miscellaneous chapter), page one, for guidance to determine if the child meets the "Special Needs Requirement" and has one of the four allowable "Functional Deficits".  Look for The Physician's Information Form – it will be present and indicate if a doctor agrees CPCA services is needed to meet the Special Needs Requirement (section II. Of the form).  Look for the CPCA Assessment – it gives information to determine if at least one functional deficit is present.

G3 Day Services		<p>A“DDSN Day Service” includes Career Preparation, Employment Services through a Mobile Work Crew or Enclave, Community Service, Day Activity, or Support Center.</p> <p>*Employment Services through Individual Community Employment is not included.</p>
<p>*With the exception of Employment–Individual (See G4 Indicators)</p>		Indicator Guidance with Observation Guidelines
G3-01	<p>After acceptance into service but prior to the first day of attendance into a DDSN Day Service, a preliminary plan must be developed that outlines the care, and supervision to be provided</p>	<p>Plan must include essential information to ensure appropriate services and supports are in place to assure health, safety, supervision and rights protection.</p> <p>Applies only to those admitted to the Day Service within 30 days prior to review. For all others, this Indicator will be N/A.</p> <p>Source: Day Services Standards</p>
G3-02	<p>On the first day of attendance in a DDSN Day Service, the preliminary plan must be implemented</p> <p><b>OBSERVATION:</b> The interventions in the plan are implemented</p>	<p>Preliminary plan is to be implemented on the day of admission. When assessments are completed and training needs/priorities have been identified, the plan will be completed and will replace the preliminary plan.</p> <p>Applies only to those admitted to the Day Service within 30 days prior to the review. For all others, this Indicator will be N/A.</p> <p>Source: Day Services Standards</p>
G3-03	<p>Within thirty (30) calendar days of the first day of attendance into a DDSN Day Service and annually thereafter, an assessment will be completed</p>	<p>At a minimum, assessments must be completed every 12 months.</p> <p>Source: Day Services Standards</p>
G3-04	<p>The assessment identifies the:</p> <p>(1) abilities / strengths,</p> <p>(2) interests / preferences and</p> <p>(3) needs of the person</p>	<p>The assessment identifies the (1) abilities / strengths, (2) interests / preferences and (3) needs of the person in the following areas:</p> <p><b>Career Preparation</b></p> <ul style="list-style-type: none"> <li>• Self-Advocacy/Self Determination</li> <li>• Self-Esteem</li> <li>• Coping Skills</li> <li>• Personal Responsibility</li> <li>• Personal Health and Hygiene</li> <li>• Socialization</li> <li>• Community Participation</li> <li>• Mobility and Transportation</li> <li>• Community Safety</li> <li>• Money Management</li> <li>• Pre-Employment</li> <li>• Job Search</li> </ul>

		<p><b>Employment (Mobile Work Crew/Enclave)</b></p> <ul style="list-style-type: none"> <li>• Self-Advocacy/Self Determination</li> <li>• Self-Esteem</li> <li>• Coping Skills</li> <li>• Personal Responsibility</li> <li>• Personal Health and Hygiene</li> <li>• Socialization</li> <li>• Community Participation</li> <li>• Mobility and Transportation</li> <li>• Community Safety</li> <li>• Money Management</li> <li>• Pre-Employment</li> <li>• Job Search</li> </ul> <p><b>Community Service</b></p> <ul style="list-style-type: none"> <li>• Self-Advocacy/Self Determination</li> <li>• Self-Esteem</li> <li>• Coping Skills</li> <li>• Personal Responsibility</li> <li>• Personal Health and Hygiene</li> <li>• Socialization</li> <li>• Community Participation</li> <li>• Mobility and Transportation</li> <li>• Community Safety</li> <li>• Money Management</li> </ul> <p><b>Day Activity</b></p> <ul style="list-style-type: none"> <li>• Self-Advocacy/Self Determination</li> <li>• Self-Esteem</li> <li>• Coping Skills</li> <li>• Personal Responsibility</li> <li>• Personal Health and Hygiene</li> <li>• Socialization</li> <li>• Community Participation</li> <li>• Mobility and Transportation</li> <li>• Community Safety</li> <li>• Money Management</li> </ul> <p><b>Support Center</b></p> <ul style="list-style-type: none"> <li>• non-medical care,</li> <li>• the supervision,</li> <li>• assistance and</li> <li>• interests / preferences of the person.</li> </ul> <p>Source: Day Services Standards</p>
G3-05	Based on the results of the assessment, within thirty (30) calendar days of the first day of attendance and annually thereafter, a plan is developed with participation from the individual and/or his/her legal guardian	<ul style="list-style-type: none"> <li>• At a minimum, the plan must be completed every 12 months.</li> <li>• Input from the participant can be documented in any manner (e.g. sign-in sheet for a planning meeting, signature on plan, etc.)</li> </ul> <p>Source: Day Services Standards</p>

G3-06	<p>The plan must include:</p> <p>a) A description of the interventions to be provided including time limited and measurable goals/objectives when the person participates in <b>Day Activity, Employment Services, Community Services, and/or Career Preparation</b></p> <p>b) or, a description of the care and assistance to be provided when the person participates in <b>Support Center</b></p>	<ul style="list-style-type: none"> <li>• If more than one service has been authorized, the plan must include a Section II page for each service authorized.</li> <li>• If 2 units per day are received, the plan must include interventions and goals/objectives for both the 1st and the 2nd unit.</li> <li>• Medications taken by the consumer during day services must be listed and any assistance in medicating must be documented (self-medicate or assisted medication). All known relevant medication information must be documented. All specific instructions concerning individual reactions, side effects or restrictions to medicine must be documented</li> </ul> <p>Source: Day Services Standards</p>
G3-07	<p>The plan must include a description of the type and frequency of supervision to be provided</p>	<ul style="list-style-type: none"> <li>• In accordance with Department Directive 510-01-DD, services provided shall include the provision of any interventions and supervision needed by the person which includes dining/eating.</li> <li>• The interventions to be provided must be based on assessed needs.</li> <li>• Supervision must encompass any time outside of the actual unit time when the person is present and supervision is needed.</li> </ul> <p>Source: Day Services Standards</p>
G3-08	<p>For <b>Support Center</b> persons, the plan must include a description of the kinds of activities in which the person is interested or prefers to participate</p>	<p>Goals and objectives are not required for <b>Support Center</b> persons.</p> <p>Note: This Indicator is N/A for all other Day Services.</p> <p>Source: Day Services Standards</p>
G3-09	<p>The interventions in the plan must support the provision of the DDSN Day Service(s) as defined in the standards</p>	<p>The interventions in the plan must support the provision of the DDSN Day Service(s) as defined in the standards:</p> <p><b>Career Preparation</b> is aimed at preparing persons for careers through exposure to and experience with various careers and through teaching such concepts as compliance, attendance, task completion, problem solving, safety, self determination, and self-advocacy. Services are not job-task oriented, but instead, aimed at a generalized result. Services are reflected in the person's service plan and are directed to habilitative rather than explicit employment objectives. Services will be provided in facilities licensed by the state. DDSN Day activities that originate from a facility licensed by the state will be provided and billed as DDSN Day. On site attendance at the licensed facility is not required to receive services that originate from the facility.</p>

		<p><b>Employment Services</b> consist of intensive, on-going supports that enable persons for whom competitive employment at or above minimum wage is unlikely absent the provision of supports and who, because of their disabilities, need supports to perform in a regular work setting. Employment Services may include services to assist the person to locate a job or develop a job on behalf of the person. Employment services are conducted in a variety of settings, particularly work sites where persons without disabilities are employed and include activities such as supervision and training needed to sustain paid work. Employment Services may be provided in group settings, such as mobile work crews or enclaves, or in community-based individual job placements.</p> <p><b>Community Service</b> is aimed at developing one's awareness of, interaction with and/or participation in their community through exposure to and experience in the community and through teaching such concepts as self-determination, self-advocacy, socialization and the accrual of social capital. Services will be provided in facilities licensed by the state. Community activities that originate from a facility licensed by the state will be provided and billed as Community Service. On site attendance at the licensed facility is not required to receive services that originate from the facility.</p> <p><b>Day Activity Services</b> are supports and services provided in therapeutic settings to enable persons to achieve, maintain, improve, or decelerate the loss of personal care, social or adaptive skills. Services are provided in non-residential settings that are licensed by the state. Community activities that originate from a facility licensed by the state will be provided and billed as Day Activity Service. On site attendance at the licensed facility is not required to receive services that originate from the facility.</p> <p><b>Support Center Service</b> includes non-medical care, supervision and assistance provided in a non-institutional, group setting outside of the person's home to people who because of their disability are unable to care for and supervise themselves. Services provided are necessary to prevent institutionalization and maintain the persons' health and safety. The care, supervision and assistance will be provided in accordance with a plan of care. An array of non -habilitative activities and opportunities for socialization will be offered throughout the day but not as therapeutic goals.</p> <p><b>All Services:</b> Transportation will be provided from the person's residence to the habilitation site when the service start time is before 12:00 Noon. Transportation will be available from the person's habilitation site to their residence when the service start time is after 12:00 Noon.</p> <p>Source: Day Services Standards</p>
--	--	---



G3-10	As soon as the plan is developed, it must be implemented  <b>OBSERVATION</b>	<ul style="list-style-type: none"> <li>The interventions in the plan are implemented as specified in the plan. This includes: <ul style="list-style-type: none"> <li>The type and frequency of supervision as well as,</li> <li>Specific training.</li> </ul> </li> </ul> <p>Source: Day Services Standards</p>
G3-11	Data must be collected as specified in the plan and must be sufficient to support the implementation of the plan for each unit of service reported	<p>For each unit of service provided:</p> <ul style="list-style-type: none"> <li>Documentation must be present to show the service was provided on the day the service was reported.</li> <li>Additionally, for training objectives, the data documenting the response to and/or outcome of training must be sufficient to measure the progress.</li> </ul> <p>Source: Day Services Standards</p>
G3-12	At least monthly, the plan is monitored by the Program Director or his/her designee to determine its effectiveness	<ul style="list-style-type: none"> <li>The Program Director's or designee's signature on the Monthly Data Recording Sheet signifies that the training intervention(s) in the plan have been monitored.</li> <li>An evaluation of progress for each training intervention must be noted.</li> <li>If no progress is made over the previous month's percentage, a comment is required on the Monthly Data Recording Sheet detailing the changes to the intervention or methods, or an explanation for the lack of progress and justification for continuing with the intervention and methods unchanged</li> </ul> <p>Source: Day Services Standards</p>
G3-13	The plan is amended when significant changes to the plan are necessary	<p>Significant changes may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>Interventions are not appropriate,</li> <li>Interventions are not supporting progress, and/or</li> <li>The person's life situation has changed.</li> </ul> <p><b>This indicator should be cited when an amendment was warranted but was not made due to an inaccurate determination of progress resulting from miscalculation(s) on the Monthly Data Recording Sheet.</b></p> <p><b>NOTE:</b> Amendments must be made using a separate form identified as a plan amendment, indicating the date of the amendment, the name and date of birth, the reason for the amendment, and description of how the plan is being implemented.</p> <p>Source: Day Services Standards</p>



G4	Employment- Individual Placement	Guidance
G4-01	A comprehensive vocational service assessment that is appropriate for the authorized service is completed within 30 calendar days of admission/enrollment in the service	<ul style="list-style-type: none"> <li>• A comprehensive service assessment will be appropriate for the authorized service.</li> <li>• The service assessment will be completed within 30 calendar days of acceptance into the service.</li> <li>• Annual assessment is not required.</li> </ul> <p><b>NOTE: Review for those enrolled or re-enrolled during the review period</b></p> <p>Source: Employment Services Standards</p>
G4-02	An individual plan of employment is developed within 30 calendar days of admission/enrollment	<ul style="list-style-type: none"> <li>• If using a plan of employment other than The Individual Plan of Supported Employment (IPSE) the plan must contain all the information that is recorded on an IPSE</li> <li>• The record must reflect that the individual participated in decisions regarding his/her services as evidenced by required signatures in the individual plan of employment as in Section 4, Terms and Conditions of the IPSE.</li> <li>• The individual plan of employment is not an annual plan.</li> </ul> <p><b>NOTE: Review for those enrolled and re-enrolled during the review period</b></p> <p>Source: Employment Services Standards</p>
G4-03	The record will contain notations that show evidence of monitoring and evaluation of progress	<ul style="list-style-type: none"> <li>• Documentation, monitoring and evaluating of activities is current and updated.</li> <li>• Documentation includes the date of the activity, the number of hours for each activity and a detailed description of the activity.</li> </ul> <p>Source: Employment Services Standards</p>
G4-04	Individualized, on-the-job instruction and needed and wanted supports are being provided in a nonintrusive method	<ul style="list-style-type: none"> <li>• A record of an employment training plan including interventions (training objectives) and evaluations is documented to support individualized instruction on the job</li> <li>• N/A for participants who were not employed during the review period.</li> </ul> <p>Source: Employment Services Standards</p>
G4-05	Long-term support plans are identified in the individual plan of employment and contact with the individual is maintained monthly for a minimum of 6 months	<ul style="list-style-type: none"> <li>• Identify needs, preferences, options and long term support plans. The employment specialist must maintain contact monthly for at least 6 months to determine the long term plan is sufficient and ensure job retention and stability.</li> <li>• N/A for participants who were not employed during the review period</li> </ul> <p>Source: Employment Services Standards</p>
G4-06	An exit interview is conducted when a individual no longer needs the service of the Employment Specialist	<ul style="list-style-type: none"> <li>• At a determined point when the consumer becomes stabilized in his/her employment position and long term support needs have been identified or the consumer is terminated voluntarily or involuntarily from services, an exit interview must be conducted prior to termination of Employment Services/Individual Placement.</li> </ul> <p>Source: Employment Services Standards</p>

HASCI Division Rehabilitation Supports		Guidance
G5-01	RS Record contains a valid Medical Necessity Statement (MNS)	<p>Review participant's RS record to confirm presence of a <u>Medical Necessity Statement</u> (<i>RS Form 2</i>) signed prior to initiation of RS during review period. For ongoing participants, there must be a MNS signed no more than 365 calendar days after previous MNS was signed. When RS were not received for 45 consecutive days, there must be a new MNS signed prior to reinstatement of RS. In all instances, the MNS must be signed by a "Licensed Practitioner of the Healing Arts" (LPHA) as defined by SCDHHS (<i>RS Manual - Appendix A</i>).</p> <p>Source: Rehabilitation Supports Manual</p>
G5-02	RS Record documents a comprehensive assessment of needs and strengths to guide development or update of an IPOC	<p>Review participant's RS Record to confirm presence of a <u>Rehabilitation Supports Assessment</u> (<i>RS Form 3</i>) completed no later than 20 business days after date the RS slot was awarded, and prior to development of initial Individual Plan of Care (IPOC) and initiation of RS during review period. For ongoing participants, there must be an RS Assessment update completed within 365 calendar days of previous one.</p> <p>Source: Rehabilitation Supports Manual</p>
G5-03	RS Record contains a valid Individual Plan of Care (IPOC)	<p>Review participant's RS Record to confirm presence of a <u>Rehabilitation Supports Individual Plan of Care</u> (<i>RS Form 4</i>) completed no later than 20 business days after the RS slot was awarded, within 45 calendar days of date MNS was signed, and prior to initiation of RS during review period. For ongoing participants, there must be an update of the IPOC completed within at least 365 calendar days of date of previous IPOC. If RS were not received for 45 consecutive days, the IPOC must be updated within 45 calendar days of the date a new MNS was signed. The IPOC and each subsequent amendment (<i>RS Form 5</i> attached to initial or updated <i>RS Form 4</i>) must be signed by the participant, parent or guardian if necessary, and RS Coordinator. If the RS Coordinator is not a "Licensed or Master's Level Clinical Professional" as defined by SCDHHS (<i>RS Manual – Appendix A</i>) the forms must be co-signed by a Clinical Professional.</p> <p>Source: Rehabilitation Supports Manual</p>
G5-04	RS Record contains 90 Day Progress Reviews of the IPOC	<p>Review participant's RS Record to confirm presence of a <u>90 Day Progress Review</u> of the IPOC conducted within 90 calendar days from the signature date of the initial IPOC or annual update (regardless of amendments) and at least every 90 calendar days thereafter ( regardless of amendments). Latest dates for completing 90 Day progress Reviews must be documented as part of the IPOC (<i>RS Form 4, Page 2</i>), including date, progress of participant, effectiveness of methods/frequency, participant's continued need for RS, and comments/recommendations. Each 90 Day Progress Review must be signed by the RS Coordinator. If the RS Coordinator is not a "Licensed of Master's Level Clinical Professional" as defined by SCDHHS (<i>RS Manual – Appendix A</i>), it must be co-signed by a Clinical Professional.</p> <p>Source: Rehabilitation Supports Manual</p>

G5-05	RS Record contains a Rehabilitation Supports Summary Note for each day that RS were received	<p>Review participant's RS Record to confirm presence of a <u>Rehabilitation Supports Summary Note (RS Form 7)</u> for each day of service documenting date and location, beginning and ending time of face-to-face contact, goal(s) and objective(s) addressed, method(s) of intervention, consumer's response and general progress, and future plan for IPOC implementation. <i>RS Form 7</i> must be signed by the RS Specialist and RS Coordinator. Signature by the participant or representative is optional.</p> <p>Source: Rehabilitation Supports Manual</p>
G5-06	RS Record contains a Rehabilitation Supports Monthly Progress Summary for each month RS were received	<p>Review participant's RS Record to confirm presence of a <u>Rehabilitation Supports Monthly Progress Summary (RS Form 8)</u> for each month of service documenting Units of Service provided, progress/status of participant, efforts of RS Specialist(s) to implement the participant's IPOC, date of staff meeting, problems/issues, recommendations of the RS Coordinator, and future action. <i>RS Form 8</i> must be signed by the RS Coordinator and RS Specialist(s). If the RS Coordinator is not a "Licensed or Master's Level Clinical Professional" as defined by SCDHHS (<i>RS Manual – Appendix A</i>), it must be co-signed by a Clinical Professional.</p> <p>Source: Rehabilitation Supports Manual</p>
G5-07	RS service provision billed to SCDDSN is substantiated in the RS Record	<p>Review copies of <u>Rehabilitation Supports Report of Service (RS Form 6)</u> and <u>Summary Invoice for Rehabilitation Supports Provided (RS Form 6 Summary)</u> and verify these are consistent with documentation in the participant's RS Record (<i>RS Form 7 and RS Form 8</i>) for the corresponding month and days of service.</p> <p>Source: Rehabilitation Supports Manual</p>

G6	Residential Services	Guidance
G6-01	<p>The Residential Support Plan must include:</p> <ol style="list-style-type: none"> <li>The type and frequency of care to be provided</li> <li>The type and frequency of supervision to be provided</li> <li>The functional skills training to be provided</li> <li>Any other supports/ interventions to be provided</li> <li>Description of how each intervention will be documented</li> </ol>	<p>Score "Met" if,</p> <ul style="list-style-type: none"> <li>There is a residential support plan and</li> <li>The plan is within 365 calendar days old and</li> <li>The plan includes a description of care to be provided. <u>Care:</u> Assistance with or completion of tasks that cannot be completed by the person and about which the person is not being taught (including but not limited to medical/dental care, regulation of water temperature, fire evacuation needs, etc.)</li> <li>The plan includes a description of how the person is to be supervised throughout the day. <u>Supervision:</u> Oversight by another provided according to SCDDSN policy 510-01-DD Supervision of People Receiving Services and must be as specific and individualized as needed to allow freedom while assuring safety and welfare.</li> <li>The plan includes functional skills training to assist the person with acquiring, maintaining or improving skills related to activities of daily living, social and adaptive behavior necessary to function as independently as possible. <u>Skills training</u> outlined within the plan should focus on teaching the most useful skills/abilities for the person according to the person's priorities. Every consideration should be given to adaptations that could make the task easier/more quickly learned. <u>Functional:</u> Activities/skills/abilities that are frequently required in natural, domestic or community environments.</li> </ul> <p>Source: Residential Habilitation Standard 4.6 Supports CQL Basic Assurances Factor 8 and Shared Values Factor 9</p>
G6-02	<p>A comprehensive functional assessment:</p> <ol style="list-style-type: none"> <li>Is completed prior to the development of the initial plan</li> <li>Is updated as needed to insure accuracy</li> </ol>	<p>Score "Met" if a comprehensive functional assessment has been done addressing the following areas:</p> <p>Self Care:</p> <ol style="list-style-type: none"> <li>Bowel/bladder care</li> <li>Bathing/grooming (including ability to regulate water temperature)</li> <li>Dressing</li> <li>Eating</li> <li>Ambulation/Mobility</li> <li>Need to use, maintain prosthetic/adaptive equipment.</li> </ol> <p>Personal Health:</p> <ol style="list-style-type: none"> <li>Need for professional medical care (how often, what care)</li> <li>Ability to treat self or identify the need to seek assistance</li> <li>Ability to administer own meds/treatments (routine, time limited, etc.)</li> <li>Ability to administer over the counter meds for acute illness</li> <li>Ability to seek assistance when needed.</li> </ol> <p>Self Preservation:</p> <ol style="list-style-type: none"> <li>Respond to emergency</li> <li>Practice routine safety measures</li> <li>Avoid hazards</li> <li>Manage (use/avoid) potentially harmful household substances</li> <li>Ability to regulate water temperature</li> </ol> <p>Self Supervision:</p> <ol style="list-style-type: none"> <li>Need for supervision during bathing, dining, sleeping, other times during the day</li> <li>Ability to manage own behavior</li> </ol> <p>Rights:</p> <p>Human rights are those rights established by the United Nations that all people are entitled to by virtue of the fact that they are human. Ex. Life, liberty and security of person, right not to be subjected to torture, etc.</p>

		<p>Personal finances/money: People are expected to manage their own money to the extent of their ability.</p> <p>Community Involvement:</p> <ul style="list-style-type: none"> <li>a) Extent of involvement</li> <li>b) Awareness of community activities</li> <li>c) Frequency</li> <li>d) Type</li> </ul> <p>Social network/family relationships</p> <ul style="list-style-type: none"> <li>a) Family and Friends</li> <li>b) Status of relationships</li> <li>c) Desired contact</li> <li>d) Support to re-establish/maintain contact</li> </ul> <p>Site Assessment (FOR SLP I ONLY) using SLP I Assessment Form:</p> <ul style="list-style-type: none"> <li>a) Completed annually</li> <li>b) Any items assessed as "NO" have a plan to address, approved by the District Office</li> <li>c) Process implemented 4/01/10</li> </ul> <p>AND the assessment supports skills training, care and supervision objectives identified within the person's plan.</p> <p>AND the assessment is current i.e. accurately reflects the skills/abilities of the person.</p> <p>Events that may trigger an assessment update may include, but not be limited to: completion of a training objective, failure to progress on a training objective, when the intervention yields 100% accuracy the first month, upcoming annual plan, major change in health/functioning status such as stroke, hospitalization, etc</p> <p>The assessment does not have to be re-done annually. It is acceptable to review the assessment and indicate the date of review and the fact that the assessment remains current and valid. This notation must be signed or initialed by the staff that completed the review.</p> <p>Source: Residential Habilitation Standard RH 4.4 Supports CQL Basic Assurances Factor 8 and Shared Values Factor 8</p>
G6-03 W	<p>Within 30 days of admission and every 365 days thereafter, a residential plan is developed:</p> <ul style="list-style-type: none"> <li>a) that supports the person to live the way he/she wants to live</li> <li>b) that reflects balance between self determination and health and safety</li> <li>c) that reflects the interventions to be applied</li> </ul>	<p>Initial plan must be developed within 30 days of admission and every 365 days thereafter.</p> <p>The Plan must reflect the person's priorities and a balance between self determination and health and safety.</p> <p>Source: Residential Habilitation Standard RH 4.5 The document," Balancing the Rights of Consumers to Choose with the Responsibility of Agencies to Protect" which is located on the extranet under Quality Assurance. Supports CQL Basic Assurances Factors 6 and 8</p>

G6-04	<p>The effectiveness of the residential plan is monitored and the plan is amended when:</p> <ul style="list-style-type: none"> <li>a) No progress is noted on an intervention</li> <li>b) new intervention, strategy, training, or support is identified; or</li> <li>c) The person is not satisfied with the intervention</li> </ul>	<p>Data should be looked at monthly to see that training has been completed as scheduled and data is collected as prescribed.</p> <p>Corrective action should be taken and recorded when: The plan is not implemented as written by staff; <b>When the intervention yields 100% accuracy the first month</b>; there is no correlation between recorded data and observed individual performance; the health, safety and welfare of people is not maintained, when the person is not satisfied with the intervention, etc.</p> <p>Miscalculations of data, i.e. incorrect computations of percentages should be corrected during monitoring and will be cited if they affect the outcome of the training (result in no amendments to the plan when amendment should have occurred).</p> <p>As a general rule, if no progress has been noted for three (3) consecutive months with no reasonable justification for the lack of progress, the strategy must be amended, and if necessary, the Plan as well.</p> <p>Source: Residential Habilitation Standard 4.9 Supports CQL Shared Values Factors 1 and 8, Basic Assurances Factor 8</p>
G6-05	A quarterly report of the status of the interventions in the plan must be completed	<p>Score "Met" if a summary of progress is done at a minimum, quarterly. The provider may elect to do monthly progress notes. If monthly progress notes are done, quarterly reports are not required.</p> <p>Note:</p> <ul style="list-style-type: none"> <li>• Quarterly reports are to be completed and available within 10 business days of the close of the quarter.</li> <li>• Monitoring of all interventions not just training/ all components</li> </ul> <p>Source: Residential Habilitation Standard 4.7</p>
G6-06	People receive training on rights and responsibilities	<p>Score "Met" if there is documentation that training on rights and responsibilities is occurring. Training may include but not be limited to:</p> <p>On-going exposure to information regarding rights (ex. Agency wide focus on right of the month, rights discussions during house meetings, involvement in focus groups organized around rights, etc.).</p> <p>Formal training objectives on rights most important to the person (ex. How to vote) as applicable.</p> <p>Source: Residential Habilitation Standard RH 2.0 Supports CQL Shared Values Factors 1, 2 and Basic Assurances Factor 1</p>
G6-07	Personal freedoms are not restricted without due process	<p>Personal freedoms include but are not limited to:</p> <p>Making a phone call in private. Entertaining family/visitors in a private area. Unopened mail. Food choices Free access to the environment in which they live. Possessing a key to their bedroom and home if they so desire. Due process means human rights review of any restriction. The person must be offered the opportunity to attend the HRC meeting and have someone accompany them to assist in advocating for themselves, if they so desire. Verified by Service Notes.</p> <p>Source: Residential Habilitation Standard RH 2.0 535-02-DD Human Rights Committee Supports CQL Shared Values Factor 2</p>



G6-08	People are expected to manage their own funds to the extent of their capability	<p>People should manage their funds to the extent that they are capable. If assistance must be provided, provisions of 200-12-DD apply. The person must be actively involved in the development of their financial plan to include but not be limited to: planned purchases, weekly spending money, saving, etc.</p> <p>People should receive a regular accounting of their funds (amount, what it is spent for, where it is kept, how to access it, etc.)</p> <p>Source: Residential Habilitation Standard RH 2.0 200-12-DD Management of Funds for Individuals Participating in Community Residential Programs Supports CQL Shared Values Factors 1,3 and Basic Assurances Factor 9</p>
G6-09	People who receive services are trained on what constitutes abuse and how and to whom to report	<p>Score "Met" if there is documentation that training on abuse is occurring on an on-going basis. On-going training means that information about abuse/neglect is incorporated into all aspects of the training program, not a one-time, large group training experience. Training may occur at meetings within residences, "rap sessions", self-advocates' meetings, etc. as well as in formal training objectives.</p> <p>Source: Residential Habilitation Standard RH 2.2 534-02-DD Procedures for Preventing and Reporting Abuse, Neglect, or Exploitation of People Receiving Services from DDSN or a Contract Provider Agency. Supports CQL Shared Values Factor 1 and Basic Assurances Factor 4.</p>
G6-10	People receive a health examination by a licensed Physician, Physician's Assistant, or Certified Nurse Practitioner who determines the need for and frequency of medical care and there is documentation that the recommendations are being followed	<p>Score "Met" if:</p> <ul style="list-style-type: none"> <li>the person has received an exam by a licensed physician, Physician's Assistant or Certified Nurse Practitioner</li> <li>AND there is documentation that the plan of care is being followed</li> <li>AND the health care received is comparable to any person of the same age, group and sex. i.e., mammogram for females 40 and above, annual pap smears, prostate checks for males over 50, etc.</li> <li>Health conditions such as dysphasia and GERD are ruled out before behaviors such as rumination, intentional vomiting, etc. are addressed behaviorally.</li> <li>People with specific health concerns, such as seizures, people who are prone to aspirate, etc., receive individualized care and follow-up.</li> <li>If the person has refused medical care, documentation of this must be in the file.</li> <li>People actively participate in the management of their healthcare to the extent capable. At a minimum: <ul style="list-style-type: none"> <li>People should be offered choice</li> <li>Kept informed regarding appointments and purpose</li> <li>Have information regarding purpose/side effects of medications taken</li> </ul> </li> </ul> <p>Supports CQL Shared Values Factors 1,3 and Basic Assurances Factor 5</p>
G6-11	People receive a dental examination by a licensed dentist who determines The need for and frequency of dental care, and there is documentation that the dentist's recommendations are being carried out	<p>Score Met if there is documentation that a dental exam has been done by a licensed dentist and there is documentation that the recommendations are being carried out.</p> <p>A person who is edentulous may be checked by a physician.</p> <p>Note: If a person has refused dental care, there must be documentation of this in the file.</p> <p>Source: Residential Habilitation Standard RH 5.0</p>

G7	Health & Behavior Support Services	Guidance
G7-01 W	Behavior(s) that pose a risk to the person, others, the environment, or that interfere with his/her ability to function in the environment are addressed	<p>If behaviors that pose a risk to the person, others or the environment or that interfere with the person's ability to function in the environment are being displayed, the behaviors must be addressed. Review the Plan, service notes, progress notes, critical incident reports and other documentation to determine if the problem behaviors occurred. Review documentation to determine if the behaviors were identified and are being addressed. Behaviors may be considered to be addressed if their occurrence is acknowledged and there is a plan for when the frequency of occurrence will warrant further intervention, steps are being taken to analyze and assess the behavior so that a strategy can be developed, informal strategies such as environmental changes, etc. are being tried, a BSP or guidelines are being implemented. Behaviors may also be considered addressed if there is evidence that an approved provider was sought (even if not found). More than one provider should be contacted before it can be determined that no provider is available.</p> <p>Source: 600-05-DD</p>
G7-02	As needed by the person, but at least quarterly, psychotropic medications and the BSP are reviewed by the consulting psychiatrist, behavior consultant, and support team	<p>[Psychotropic Drug Reviews] Review BSP, any psychiatrist and behavior consultant notes, and documentation of support team meetings to determine if psychotropic medications and the effectiveness of the BSP are reviewed at least quarterly for: A. Desired responses; B. Adverse side-effects; and C. Gradual decrease in drug dosage and ultimate discontinuance of the drug(s) unless clinical evidence/data is documented that this is contraindicated.</p> <p>Source: 600-05-DD</p>
G7-03	In advance of the meeting, the Behavior Support provider is notified of the date, time and location of the Psychotropic Drug Review	<p>When the person is being actively served by a provider of Behavior Support Services, the Behavior Support Services provider is notified of the date, time and location of the Psychotropic Drug Review.</p> <p>Source: Residential Habilitation Standards</p>
G7-04	The specific behaviors/psychiatric symptoms targeted for change by the use of the Psychotropic medication are clearly noted	<p>Source: 600-05-DD</p>
G7-05	The Psychotropic Drug Review process provides for gradually diminishing medication dosages and ultimately discontinuing the drug unless clinical evidence to the contrary is present	<p>Source: 600-05-DD</p>
G7-06	Consent for health care or restrictive interventions is obtained in accordance with 535-07-DD.	<p>Review for documentation that procedures or restriction(s) were discussed with the person and surrogate, if required, before presentation to the HRC and person was informed of his/her right to refuse and appeal.</p> <p>Source: 535-07-DD</p>

G7-07	When prescribed anti-psychotic medication or other medication(s) associated with Tardive Dyskinesia, monitoring is conducted	<p><b>Note</b> If medication prescribed at the time of admission, a baseline T.D. Score is obtained within one month</p> <p>Source: 603-01-DD, Supports CQL Basic Assurances Factors 2, 5, 6, &amp; 8</p>
G7-08	Recommendations made following GERD/Dysphagia screening and review	Annual Swallowing Checklist

G8	HASCI Waiver	Guidance
G8-01 R	The Support Plan is completed as required.	<p>Review participant's most recent Support Plan in review period and verify it was completed within the previous 365 days. The same applies when there is a leap year.</p> <p>Except if transferring from an ICF/ID, a participant's Support Plan must be entered into the Consumer Data and Support System (CDSS) using the Consumer Assessment and Planning (CAP) module unless otherwise approved by SCDDSN. Completion and implementation date of the Support Plan is the date it is fully entered in CDSS.</p> <p>A Support Plan must be completed:</p> <ul style="list-style-type: none"> <li>• By the 45<sup>th</sup> calendar day following determination of eligibility for SCDDSN services</li> <li>• By the 45<sup>th</sup> day after being transferred from Level II Service Coordination</li> <li>• By the 45<sup>th</sup> day after being transferred from Early Intervention</li> <li>• Before HASCI Waiver Services are authorized</li> <li>• Within 365 days of the previous plan</li> </ul> <p>Source: Support Plan Instructions, Service Coordination Standards HASCI Waiver Manual</p>
G8-02	Needs identified in the Support Plan are justified by formal or informal assessment information in the record	<p>Review the participant's record and service notes to verify there is formal or informal assessment information to justify each need in the Support Plan for which interventions were implemented, including for all HASCI Waiver services.</p> <p>During annual planning, the SCDDSN Service Coordination Annual Assessment (SCAA) identifies needs and justifies services/interventions in the Support Plan. The SCAA must be completed and entered on the CAP module of CDSS unless otherwise approved by SCDDSN. Needs assessment during the course of the year outside of annual planning must be documented in service notes.</p> <p>Formal and/or informal assessments may include information provided by the participant and/or caregivers about current situation, medical status, school records, formal assessment tools, and reports from past and/or current service providers.</p> <p>Source: "Guidelines on How to Complete the SCDDSN Annual Service Coordination Assessment", Support Plan Instructions, Service Coordination Standards, HASCI Waiver Manual</p>
<b>G8-03 R</b>	Waiver services correctly documented in Support Plan	<p>Review participant's Support Plan and revisions in review period to verify correct documentation of each Waiver service, including:</p> <ul style="list-style-type: none"> <li>• name of service as listed in HASCI Waiver Manual</li> <li>• amount (units), frequency (weekly, monthly, annually, or one-time) and duration (length of authorization)</li> <li>• valid provider type as designated in HASCI Waiver document</li> </ul> <p>Source: HASCI Waiver Manual</p>
G8-04	Services/ Interventions identified in Support Plan to meet assessed needs	<p>Review participant's Support Plan in review period to verify presence of documentation that services and/or interventions were identified to appropriately address all assessed needs.</p> <p>Services/interventions must have a logical connection to the need.</p> <p>Source: "Guidelines for Completion of the SCDDSN Service Coordination Annual Assessment" Service Coordination Standards, Service Coordination Standards glossaries, HASCI Waiver Manual</p>

G8-05	Appropriate funding sources are identified in the Support Plan	<p>Review participant's Support Plan and Service Notes in review period to verify presence of documentation that appropriate funding sources were identified for every service/intervention.</p> <p>Review "current resources" identified in the person's SCAA (or Service Notes if needs assessment occurred outside of annual planning and resources changed) to determine what resources the person has. Compare the person's resources to the services/interventions noted on the Support Plan to verify an appropriate funding source is listed for each service/intervention.</p> <p>Source: <i>"Guidelines for Completion of the SCDDSN Service Coordination Annual Assessment"</i>, Service Coordination Standards, Service Coordination Standards glossaries, HASCI Waiver Manual</p>
G8-06	The Support Plan is amended or updated as required	<p>Review participant's Support Plan, Service Notes, and record in review period to verify presence of documentation that changes were made when any of the following occurred:</p> <ul style="list-style-type: none"> <li>a. new service needs or interventions were identified</li> <li>b. there were significant changes in the person's life</li> <li>c. a service was determined to not be effective</li> <li>d. a need was met (service/interventions no longer needed)</li> <li>e. the person or legal guardian was not satisfied</li> </ul> <p>The Support Plan must be current at all times. If any part of Section D ("Needs/Interventions") of the Support Plan is no longer current, an amendment/update must be completed using the CAP module of CDSS. A brief Service Note is acceptable so long as the change is explained in detail on the "Needs Change" form printed from the CAP module and included in the record.</p> <p>For new needs that occur outside of annual planning, identification and assessment of the need must be addressed in Service Notes and, if applicable, a new "Needs/Interventions" page must be added to the Support Plan using the CAP module.</p> <p>Source: Support Plan Instructions, Service Coordination Standards, HASCI Waiver Manual.</p>

G8-07 W	Service Coordination contacts and face- to - face visits are made as required,	<p>Review participant's record and Service Notes in review period to verify presence of documentation that:</p> <ol style="list-style-type: none"> <li>at least one contact was made bi-monthly (every other month)</li> <li>at least one face-to-face visit occurred every six (6) months</li> </ol> <p>A contact is a telephone call, letter, or email for the purpose of performing a core service coordination function when a face-to-face visit is not required.</p> <p>A face-to-face visit is a meeting with the person receiving services and/or legal guardian for the purpose of performing a core service coordination function.</p> <p>Source: Service Coordination</p>
G8-08	The Support Plan is reviewed at least every 6 months	<p>Review participant's Support Plan and Service Notes in review period to verify presence of documentation that:</p> <ol style="list-style-type: none"> <li>needs and interventions were reviewed as often as needed, but at least every six (6) months</li> <li>needs and interventions were implemented as indicated in the Support Plan.</li> </ol> <p>Six Month reviews are completed on the CAP module of CDSS. Monitoring/review forms on CAP include all of the necessary components of monitoring</p> <p>Source: Service Coordination Standards, Support Plan Instructions</p>
G8-09	A valid Service Agreement is present and correctly signed	<p>Review participant's primary case record to verify presence of a current and valid SCDDSN Service Agreement (initial or updated); review most recent Service Agreement to verify it is current, correctly dated and signed by the appropriate party.</p> <p>The Service Agreement form must be signed by:</p> <ul style="list-style-type: none"> <li>a parent or a legal guardian if the participant is under age 18 years</li> <li>a legal guardian if the participant is age 18 years or older and has been adjudicated incompetent</li> <li>the participant if he or she is age 18 years or older and has not been adjudicated incompetent;</li> </ul> <p>A new Service Agreement must be updated and signed if the participant's name was legally changed, there was a change in legal guardianship, or the participant turned 18 years old.</p> <p>If the participant was a competent adult but physically unable to sign, he or she can make a "mark" on the Service Agreement form, which must be witnessed. If the participant can neither sign nor make a "mark", both the Service Agreement form and a Service Note must indicate why the participant's signature or "mark" was not obtained.</p> <p>Source: Service Coordination Standards</p>

G8-10 W	SCDDSN eligibility documentation is present	<p>Review participant's record to verify presence of correspondence from Consumer Assessment Team (CAT) confirming the person's eligibility for SCDDSN.</p> <p>Information from CAT may not be available prior to 9/01; therefore, absence of eligibility documentation prior to 9/01 will not be cited.</p> <p>Source: Service Coordination</p>
G8-11	Abuse and Neglect information is provided annually	<p>Review participant's record and Service Notes to verify presence of documentation that information concerning abuse and neglect was provided to the participant and/or legal guardian at least annually.</p> <p>Information provided must explain what abuse and neglect is and how it must be reported to authorities.</p> <p>Source: Service Coordination Standards; CQL Basic Assurances</p>
G8-12	Access to health care monitored and assisted	<p>Review participant's Annual Assessment, Support Plan, Service Notes, and record to verify presence of documentation that needs/options for health care were discussed, choice of health care providers was offered, and health care was accessed to address needs.</p> <p>The Service Coordinator is not required to provide information/choice concerning health care providers if documentation reflects the participant has a primary care physician and is satisfied, or that the person/legal guardian chose not to have a primary care physician.</p> <p>Choice must be offered unless there are no other available physicians or healthcare providers within a reasonable distance. A participant cannot be required to use a physician or health care provider contracted by a residential service provider unless no others are available in the area.</p> <p>Medical records/reports can assist needs assessment of the participant so long as the Service Coordinator addressed recommendations, provided information about options for care and choice of providers, and monitored access to healthcare services.</p> <p>Source: Service Coordination Standards, CQL Basic Assurances, HASCI Waiver Manual</p>
G8-13	Acknowledgement of Choice and Appeal Rights form completed prior to Waiver enrollment and annually	<p>Review participant's record to verify Acknowledgement of Choice and Appeal Rights (HASCI Form 19) is present for review period. Verify it was signed by participant or Legal Guardian prior to HASCI Waiver initial enrollment or re-enrollment in review period or within 365 days of previous.</p> <p>If participant was a competent adult, but physically unable to sign, both the form (initial or annual update) and a Service Note should indicate why participant's signature was not obtained.</p> <p>Source: HASCI Waiver Manual</p>
G8-14	Acknowledgement of Rights & Responsibilities form completed prior to Waiver enrollment	<p>Review participant's record to verify Acknowledgement of Rights and Responsibilities (HASCI Form 20) is present. Verify it was signed by participant or Legal Guardian prior to HASCI Waiver initial enrollment or re-enrollment.</p> <p>If participant was a competent adult at time of HASCI Waiver initial enrollment or re-enrollment, but physically unable to sign, both the form</p>

		<p>and a Service Note should indicate why participant's signature was not obtained.</p> <p><i>Not required annually</i></p> <p>Source: HASCI Waiver Manual</p>
G8-15	Freedom of Choice documented prior to Waiver enrollment	<p>For participant initially enrolled or re-enrolled in HASCI Waiver in review period, review participant's record to verify Freedom of Choice form (HASCI Form 2) was properly completed prior to enrollment, indicated choice of Waiver services in the community, and signed by the participant or Legal Guardian. If participant was age 18 years or older, not adjudicated incompetent, but physically unable to sign, both the form and a Service Note should indicate why signed choice was not obtained.</p> <p>If participant not adjudicated incompetent became 18 years old in review period and after HASCI Waiver enrollment, verify either a new Freedom of Choice form was completed and signed by participant or original form was re-dated and signed by participant. This must have been done within 30 days after participant's 18<sup>th</sup> birthday. If participant was a competent adult, but physically unable to sign, both the form and a Service Note should indicate why signed choice was not obtained.</p> <p>Source: HASCI Waiver Manual</p>
G8-16	Level of Care (LOC) initial certification properly completed within 30 days prior to or on date of Waiver enrollment	<p>For participant initially enrolled or re-enrolled in HASCI Waiver in review period, review NF Level of Care or ICF-ID Level of Care initial determination to verify it was completed by the appropriate entity within 30 days prior to or on the date of enrollment.</p> <p><i>SCDHHS Community Long Term Care (CLTC) must complete NF Level of Care initial certification for HASCI Waiver enrollment or re-enrollment; LOC initial certification date is the date on the CLTC transmittal form (HASCI Form 7).</i></p> <p><i>SCDDSN Consumer Assessment Team must complete ICF-ID Level of Care initial certification for HASCI Waiver enrollment or reenrollment; LOC initial certification date is the "effective date" on the ICF-ID Certification Letter</i></p> <p>Source: HASCI Waiver Manual</p>
G8-17 R	Level of Care (LOC) re-certification properly completed within 365 days after previous certification	<p><b>For on-going HASCI Waiver participant, review most recent and previous NF or ICF-ID Level of Care determinations to verify that re-certification occurred within 365 days. Verify all sections of the LOC certification form were completed and signed by the appropriate entity.</b></p> <p><b><i>HASCI Service Coordination staff complete NF Level of Care re-certification. The date the Level of Care re-evaluation was completed is effective date.</i></b></p> <p><b><i>The SCDDSN Consumer Assessment Team completes ICF-ID Level of Care re-certification for participants who have SCDDSN eligibility that is "Time-Limited", "At Risk" or "High Risk". HASCI Service Coordination staff complete ICF-ID Level of Care re-certification for all other participants. The date the Level of Care re-evaluation staffing was completed is effective date.</i></b></p> <p>Source: HASCI Waiver Manual</p>



G8-18	Current Level of Care (LOC) determination supported by appropriate information and assessment	Review participant's most recent LOC determination in review period and verify it is consistent with corresponding SCDHHS Form 1718 for NF Level of Care or with assessments/information cited for ICF-ID Level of Care.  Source: HASCI Waiver Manual
G8-19	Risks associated with refusing a Waiver service identified	Review participant's Support Plan and revisions, Service Notes, and other documentation to determine if a HASCI Waiver service was refused in review period. If a service was refused, verify that risks and other options were specifically discussed with participant or Legal Guardian  Source: HASCI Waiver Manual
G8-20 W	Choice of provider offered for each new Waiver service	Review participant's Support Plan and revisions, Service Notes, and other documentation to verify that choice of provider was offered to participant or Legal Guardian for each new HASCI Waiver service authorized in review period  Source: HASCI Waiver Manual
G8-21	Waiver services provided consistent with service definitions	Review definition in HASCI Waiver document for each service the participant received in review period. Review participant's Support Plan and revisions, Service Notes, and other documentation to verify each HASCI Waiver service was provided consistent with its definition.  Source: HASCI Waiver Manual
G8-22	Waiver services properly authorized prior to provision of services	Review HASCI Waiver Budget reports and participant's record to verify an Authorization for Services form (HASCI Form 12-_) is present for each HASCI Waiver service received in review period.  Verify the form designates correct service provider and billing entity. Verify "Start Date" indicated on the form is same as date of Service Coordinator's signature or later.  Verify there was no billing for unauthorized Waiver services.  <i>Authorization forms are required for all HASCI Waiver services except Prescribed Drugs</i>  Source: HASCI Waiver Manual
G8-23 W	Index provided and followed for Waiver documentation in participant record	Review participant's record to verify HASCI Waiver information and documents follow the HASCI Waiver Documentation Index designated in HASCI Waiver Manual or a SC provider agency index with same content. So long as required documentation can be located, order of documents will not be subject to citation.  Source: HASCI Waiver Manual
G8-24 R	<b>Medicaid Waiver Nursing Services authorized consistent with Physician's Order and SCDDSN Centralized Review of Nursing Services</b>	<b>Review participant's record and Service Notes to verify that current Authorization of Medicaid Waiver Nursing Services (HASCI Form 12-D) is supported by a Physician's Order for Nursing Services (HASCI Form 15) and correctly reflects amount and type of nursing approved by the most recent SCDDSN Centralized Review of Nursing Services.</b>  <b>Source: HASCI Waiver Manual</b>

<b>G8-25 R</b>	<b>Documentation obtained from VR Agency that Prevocational Services and/or Supported Employment Services could not be provided</b>	<p><b>For participant who received HASCI Waiver Prevocational Services and/or Supported Employment Services in review period, review participant's record and Service Notes to verify there is documentation the VR agency was unable to provide the participant with appropriate services</b></p> <p><b>Source: HASCI Waiver Manual</b></p>
G8-26	Minimum of one Waiver service received during 30 days in a calendar month	<p>Review participant's record, Support Plan and revisions, Service Notes, and HASCI Waiver Budget reports in review period to verify at least one HASCI Waiver service was received during 30 consecutive days within a calendar month.</p> <p>Verify participant was terminated from the Waiver if at least one service was not received during 30 consecutive days within each month in review period.</p> <p>Source: HASCI Waiver Manual</p>
G8-27 W	Needs of participant outside scope of Waiver services identified and addressed	<p>Review participant's Support Plan and revisions, Service Notes, and other documentation to verify Service Coordinator identified and addressed to extent possible all service needs, regardless of funding source or lack of funding</p> <p>Source: HASCI Waiver Manual</p>
G8-28	Ongoing Waiver services monitored within 2 weeks following start date of new service or new provider	<p>Review participant's Support Plan and revisions, Service Notes, and Service Authorizations to determine if a new ongoing HASCI Waiver service was received in review period or a new provider was authorized for an ongoing HASCI Waiver service.</p> <p>If yes, review Service Notes and other documentation to verify Service Coordinator monitored the new service or new provider within 2 weeks following state date. Verify that usefulness and effectiveness of the new service or new provider was documented, as well as satisfaction of participant or Legal Guardian.</p> <p>Source: HASCI Waiver Manual</p>
G8-29	One-time Waiver services monitored within 2 weeks following receipt	<p>Review participant's Support Plan and revisions, Service Notes, and Service Authorizations to determine if a one-time HASCI Waiver service was received in review period.</p> <p>If yes, review Service Notes and other documentation to verify the Service Coordinator monitored the one-time service within 2 weeks following receipt. Verify that usefulness and effectiveness of the one-time service was documented, as well as satisfaction of participant or Legal Guardian.</p> <p>Source: HASCI Waiver Manual</p>

G8-30	Environmental Modifications monitored on-site within 2 weeks following completion	<p>Review participant's Support Plan and revisions and Service Authorizations to determine if HASCI Waiver Environmental Modifications were received in review period.</p> <p>If yes, review Service Notes and other documentation to verify designated modifications were seen by Service Coordinator within 2 weeks after completion date. Verify usefulness and effectiveness of the service is documented, as well as satisfaction of participant or Legal Guardian.</p> <p>Source: HASCI Waiver Manual</p>
G8-31	Private Vehicle Modifications monitored on-site within 2 weeks following completion	<p>Review participant's Support Plan and revisions and Service Authorizations to determine if HASCI Waiver Private Vehicle Modifications were received in review period.</p> <p>If yes, review Service Notes and other documentation to verify designated modifications were seen by Service Coordinator within 2 weeks after completion date. Verify usefulness and effectiveness of the service is documented, as well as satisfaction of participant or Legal Guardian.</p> <p>Source: HASCI Waiver Manual</p>
G8-32	One-time item of Medical Supplies, Equipment, and Assistive Technology costing \$1500 or more monitored on-site within 2 weeks following receipt	<p>Review participant's Support Plan and revisions and Service Authorizations to determine if one-time item of HASCI Waiver Medical Supplies, Equipment, and Assistive Technology costing \$1500 or more was received in review period.</p> <p>If yes, review Service Notes to verify designated item was seen by Service Coordinator within 2 weeks after date of receipt. Verify usefulness and effectiveness of the item is documented, as well as satisfaction of participant or Legal Guardian.</p> <p>Source: HASCI Waiver Manual</p>
G8-33	Waiver Tracking System (WTS) consistent with Support Plan and authorized services	<p>Review participant's Support Plan and revisions, Service Authorizations, and HASCI Waiver Budget reports and verify that correct services and units are posted in WTS</p> <p>Source: HASCI Waiver Manual</p>
G8-34	Written notification made for denial, reduction, suspension, or termination of a Waiver service and information for reconsideration and appeal provided	<p>Review participant's Support Plan and revisions, Service Notes, and other documentation to determine if any HASCI Waiver service was denied, reduced, temporarily suspended, or terminated in review period.</p> <p>If any of these actions occurred, verify the participant or Legal Guardian was given written notification specifying the reason and was provided information concerning SCDDSN Reconsideration and SCDHHS Appeal.</p> <p>Verify the appropriate form was used for written notification:</p> <ul style="list-style-type: none"> <li>• Notice of Denial of Service (HASCI Form 11C)</li> <li>• Notice of Reduction of Service (HASCI Form 11A)</li> <li>• Notice of Suspension of Service (HASCI Form 11B)</li> <li>• Notice of Termination of Service (HASCI Form 11)</li> </ul> <p>Source: HASCI Waiver Manual</p>

G8-35	Waiver termination properly completed	<p>Review participant's Service Notes and other documentation to determine if participant was terminated from HASCI Waiver in review period. If this action occurred, verify Service Coordinator sent a Waiver Termination Form (HASCI Form 8) to SCDDSN Head and Spinal Cord Injury Division within 2 working days after determining that termination was required.</p> <p>Except for termination due to death, verify participant or Legal Guardian was given written notification of Waiver termination specifying reason and was provided information concerning SCDDSN Reconsideration and SCDHHS Appeal</p> <p>Source: HASCI Waiver Manual</p>
G8-36	Provision of Board-Billed Waiver services properly documented and billed	<p>Review participant's Support Plan and revisions and Service Authorizations to determine if HASCI Waiver services authorized as Board-Billed services were received in review period.</p> <p>If yes, review Service Notes and other documentation to verify a qualified vendor or provider as indicated in HASCI Waiver Manual was used for each Board-Billed service. Verify presence of documentation that service was provided as authorized. Verify presence of documentation to support all billing for the service.</p> <p>Source: HASCI Waiver Manual</p>
G8-37	Unavailability of Waiver service provider documented and actively addressed	<p>Review participant's Support Plan and Service Notes in review period to verify unavailability of a provider for a HASCI Waiver service was documented and the Service Coordinator actively attempted to locate a provider.</p> <p>Source: HASCI Waiver Manual</p>
G8-38	Nurse supervision of Attendant Care/ Personal Assistance Services monitored	<p>Review participant's Support Plan and revisions, Service Notes, and Service Authorizations to determine if HASCI Waiver Attendant Care/Personal Assistance Services (AC/PAS) were received in review period. If AC/PAS was authorized as Board-Billed or with a private provider directly enrolled with SCDDHS, verify the Support Plan documents in Section D that Service Coordinator will monitor nurse supervision of Attendants and frequency.</p> <p>Review Service Notes and other documentation to verify Service Coordinator received and reviewed nurse supervision reports at least once every four months in review period.</p> <p>For AC/PAS authorized as Board-Billed, verify copy of license is present or license number is cited to document that supervising LPN or RN was licensed in the state. <u>Not required</u> for AC/PAS authorized with private provider directly enrolled with SCDDHS.</p> <p><i>Nurse supervision is <u>not required</u> for Self-Directed Attendant Care (UAP Option) supervised by the participant or Responsible Party</i></p> <p>Source: HASCI Waiver Manual</p>
G8-39	Copies of Daily Logs for Self-Directed Attendant Care received and service monitored	<p>For participant receiving HASCI Waiver Self-Directed Attendant Care (UAP Option) in review period, review Service Notes and other documentation to verify Service Coordinator received copies of Attendant Care Daily Logs for each Attendant at least monthly, reviewed them, and addressed any service provision issues.</p> <p>Source: HASCI Waiver Manual</p>

G9	ID/RD Waiver	Guidance
G9-01 R	The Plan is developed by the Service Coordinator within 365 days	<p>Review current Plan. A current Plan must be present. A current Plan is defined as one completed within the last 365 days. When there is a leap year, the plan date would be calculated accordingly to ensure the plan is developed and signed within 365 days.</p> <p>Except for those transferring from an ICF/ID, Plans must be entered into the Consumer Data and Support System (CDSS) using the Consumer Assessment and Planning (CAP) module unless otherwise approved by the SCDDSN Director of Service Coordination. The Plan implementation date is the date a plan is completed in the CAP module of CDSS.</p> <p>For those receiving Level 1 Service Coordination, a plan must be completed on CDSS:</p> <ul style="list-style-type: none"> <li>• By the 45th calendar day following the determination of eligibility for SCDDSN services</li> <li>• Within 365 days of the last plan</li> <li>• By the 45th day of being transferred from Level II Service Coordination</li> <li>• By the 45th day of being transferred from Early Intervention</li> <li>• Before Waiver Services are authorized/provided.</li> </ul> <p>Source: Support Plan Instructions and the Service Coordination Standards.</p>
G9-02 R	The plan includes ID/RD Waiver service(s) name, frequency of the service(s), amount of service(s), duration of service(s) and valid provider type for service(s)	<p>For each waiver service received by the participant, the plan must document the need for the service; the correct waiver service name, the amount, frequency, duration and the provider type [refer to the ID/RD Waiver Document for provider types (Chapter 2 of ID Waiver Manual)].</p> <p>The amount of a service that is authorized in units should be specified in units, not in hours or days. The frequency of a service must be expressed in a manner that is consistent with how the service is authorized (e.g. “per month” or “monthly” for Respite, “per week” or “weekly” for Personal Care).</p> <p>Note: Regarding “duration” check only that a duration is specified.</p> <p>Source: ID/RD Waiver Manual</p>
G9-03 W	Service needs outside the scope of Waiver services are identified in Plans and addressed	<p>Review the Plan, service notes, and other documentation in the record to ensure that the Service Coordinator has identified and addressed all service needs regardless of the funding source.</p> <p>Source: ID/RD Waiver Manual</p>

G9-04	Needs in the Plan are justified by formal or informal assessment information in the record	<p>Review the Service Coordination record to determine if formal or informal assessment information is available to justify the “need” noted on the Plan for which interventions are being implemented. The assessment information (formal or informal) must be current and accurate. Formal and/or informal assessments may include information provided by the person and/or his/her caregivers about the person’s current situation, medical status, school records or other formalized assessment tools.</p> <p>At the time of annual planning, the <i>SCDDSN Service Coordination Annual Assessment</i> will be used to identify needs and justify services/interventions reflected in the Support Plan. The <i>SCDDSN Service Coordination Annual Assessment</i> (SCAA) must be completed on the CAP module of CDSS unless otherwise approved by SCDDSN. Information from providers currently providing services should be considered in planning. The record should reflect attempts to secure information from all current service providers. Attempts should be made in sufficient time prior to planning so that information can be secured. If the person is enrolled in the Waiver, then formal or informal assessments and recommendations for all Waiver services will be present.</p> <p>Needs assessment during the course of the year <i>outside</i> of annual planning will be documented in the service notes.</p> <p>Source: “Guidelines on How to Complete the SCDDSN Annual Service Coordination Assessment”, Support Plan Instructions, Service Coordination Standards, Waiver Manuals pertaining to needs assessment.</p>
G9-05	Assessment(s) justify the need for all ID/RD Waiver services included on the plan	<p>Review the Plan, DDSN Service Coordination Annual Assessment, service assessments (e.g. Respite Assessment, PC/Attendant Care Assessment, etc.) and service notes to ensure that all ID/RD Waiver services included on the Plan are supported by assessed need.</p> <p>Source: ID/RD Waiver Manual</p>
G9-06	Services/ Interventions are appropriate to meet assessed needs	<p>Interventions are identified to address assessed “needs”.</p> <p>Interventions must have a logical connection to the need.</p> <p>Source: “<i>Guidelines for Completion of the SCDDSN Service Coordination Annual Assessment</i>” for defined resources and the Service Coordination Standards glossaries. Also, reference Service Coordination Standards and Waiver Manuals.</p>
G9-07	The Plan identifies appropriate funding sources for services/interventions	<p>Appropriate funding sources are identified for every service/intervention. Review the person’s “current resources” identified in the SCDDSN Service Coordination Annual Assessment (or the service notes when needs assessment occurs outside of planning and resources have changed from those noted on the Plan) to determine what resources the person has. Compare the person’s resources to the services/interventions noted on the Plan to determine if the appropriate funding source is listed for the service/intervention to be/being provided.</p> <p>Source: “<i>Guidelines for Completion of the SCDDSN Service Coordination Annual Assessment</i>” for defined resources and the Service Coordination Standards glossaries. Also, reference Service Coordination Standards and Waiver Manuals.</p>

G9-08	The Plan is amended / updated as needed	<p>Review all plans and service notes in effect during the review period to determine if:</p> <ol style="list-style-type: none"> <li>updates are made when new service needs or interventions are identified,</li> <li>there have been significant changes in the person's life,</li> <li>a service is determined to not be effective,</li> <li>a need/s has/have been met,</li> <li>the person is not satisfied.</li> </ol> <p>When any part of the "Needs/Interventions" section (Section D) of the plan is no longer current, an amendment/update must be completed using the CAP module of CDSS. It is acceptable to have a brief service note provided the change/update is explained in detail on the "needs change" form printed from the CAP module of CDSS for the file. For new needs identified during the course of the year, needs assessment and identification of the need will be in the service notes and, if applicable, a new "needs/interventions" page will be added to the plan using the CAP module of CDSS. Plan must be current at all times.</p> <p>Source: Support Plan Instructions, Service Coordination Standards and Waiver Manuals. Supports CQL Shared Values Factor 8</p>
G9-09 W	<p>Contact occurs as required:</p> <ol style="list-style-type: none"> <li>Face-to-face contacts occur every 6 months</li> <li>Every other month (bi-monthly), at least one contact (as defined by SC Standards) is made</li> </ol>	<p>Beginning 7/1/11, review to determine that:</p> <ol style="list-style-type: none"> <li>Face-to-face visits occur every 6 months and are with the person receiving services and/or legal guardian.</li> <li>At least one contact is made every other month (bi-monthly).</li> </ol> <p>A contact is defined as any of the following:</p> <ul style="list-style-type: none"> <li>A face-to-face encounter for the purpose of performing a core function.</li> <li>A telephone call, letter or email when a face-to-face contact is not required or is not possible for the purpose of performing a core function</li> </ul> <p>Source: Service Coordination Standards</p>
G9-10	The Plan is reviewed at least every 6 months	<ol style="list-style-type: none"> <li>Review the Plan to determine if all needs and interventions were reviewed as often as needed, but at least every 6 months.</li> <li>Ensure that needs and interventions were implemented as prescribed in the Plan.</li> </ol> <p>Six Month reviews are completed on the CAP module of CDSS. Monitoring/review forms on CAP include all of the necessary components of monitoring</p> <p>Refer to Service Coordination Standards and Support Plan Instructions</p>
G9-11	A valid Service Agreement is present and signed as appropriate	<p>A valid Service Agreement (review most recently completed Service Agreement to assure that it is dated and signed.) For children and for adult's adjudicated incompetent, the current legal guardian (if applicable) must sign the form. For those 18 years and older or those with a name change, a new Service Agreement should be signed by the person. The most current Service Agreement that is signed and dated by the appropriate party must be filed in the primary case record. Score "Not Met" if there is not a Service Agreement in the primary case record and/or it is not signed and dated by the appropriate party. If a person is unable to sign but can make their "mark", the mark must be witnessed. If a person is unable to sign or make their mark on the Service Agreement, there will be an explanation on the form and supporting documentation in the file.</p> <p>Source: Service Coordination Standards</p>

G9-12 W	If determined eligible for DDSN services after 9/2001, an eligibility correspondence from the CAT is on file	Review the Service Coordination record for SCDDSN Eligibility Determination Correspondence (correspondence from the Consumer Assessment Team regarding the person's eligibility. If prior to 9/01, information may not be available from the Consumer Assessment Team; therefore, absence of eligibility information prior to 9/01 should not be held against the provider.  Source: Service Coordination Standards
G9-13	The person/legal guardian (if applicable) will receive information on abuse and neglect annually	Check the record for documentation that information was provided to person/legal guardian. This may be found in service notes or as a form letter in the record. Information must define what abuse and neglect is and how to report.  Source: Service Coordination Standards; CQL Basic Assurances 1, 2, 4,10
G9-14	Beginning 3/1/2011, at the time of annual planning, all children enrolled in the ID/RD or CS Waiver receiving CPCA services must have a newly completed physician's order (Physician's Information Form – MSP Form 1), assessment (CPCA Assessment – MSP Form 2), and authorization (MSP – Form 3)	See MSP forms/attachments in the miscellaneous Chapters of the ID/RD and CS Waiver Manuals.
G9-15	If a child is assessed to need over 10 hours of Children's PCA services per week, DDSN prior authorization is obtained	Review file for an email correspondence giving approval of requested units of CPCA services. If service units were not approved prior to initiation of the service, or prior to the completion of the annual plan, there must be a correspondence present allowing flexibility with approval.
G9-16	If a child receives CPCA services, the Service Needs Requirement and, unless otherwise specified, a Functional deficit exists (check only for those receiving 10 hours or less of CPCA services)	Refer to CPCA services section of the Waiver Manual (Miscellaneous chapter), page one, for guidance to determine if the child meets the "Special Needs Requirement" and has one of the four allowable "Functional Deficits".  Look for The Physician's Information Form – it will be present and indicate if a doctor agrees CPCA services is needed to meet the Special Needs Requirement (section II. Of the form).  Look for the CPCA Assessment – it gives information to determine if at least one functional deficit is present.



G9-17	Upon notification of an identified health care need, the Service Coordinator has provided information for, offered choice of and monitored a person's access to health care services/providers (inclusive of primary health care provider / physician) when health care needs are identified	<p>As needs are identified for health care, the person's options for health care and choice of health care providers were discussed to make sure the person has accessed health care to address needs. The record clearly reflects the person/legal guardian's (if legal guardian is applicable) decision not to have a primary physician, or if the record reflects the person has a primary physician and is satisfied with his/her physician, the record does not have to show that the Service Coordinator provided information for and offered choice of primary healthcare services/providers. All persons must have a choice of physician/specialist for healthcare needs even if the Board / Provider contracts with a physician unless there are no other physicians in the area. Medical records/reports can serve as a form of assessment provided the Service Coordinator has addressed all recommendations from those reports and by providing information (understanding of options of care and choice of providers) and monitoring access of healthcare services as a result of the recommendations.</p> <p>NOTE: Where there is no reasonable choice available due to the presence of only one qualifying physician within a reasonable distance, this item should be scored "Met" reflecting compliance provided that this is documented in the record.</p> <p>Source: Service Coordination Standards Supports CQL Basic Assurances Factors 5 &amp; 9, Shared Values Factor 3</p>
G9-18 W	Documentation is present verifying that a choice of provider was offered to the participant/ family for each new ID/RD Waiver service	<p>Review the service notes and the participant's Plan to determine if the participant was given a choice of provider of service each time a new service was authorized.</p> <p>Source: ID/RD Waiver Manual</p>
G9-19	The Freedom of Choice Form is Present	<p>Review the record of those enrolled or re-enrolled during the review period (this is not to include the "back-up" record) to ensure that Freedom of Choice Form is present in the record. The form must be checked to indicate choice of waiver services in the community over institutionalization, completed (properly filled out), and signed by the waiver participant or his/her legal guardian (if applicable).</p> <p>For forms completed during the review period, if the waiver participant is over age 18 and not adjudicated incompetent but is physically unable to sign the form, the form and the service notes should indicate why signed choice was not obtained. If the participant has reached the age of majority since waiver enrollment during the review period and has not been adjudicated incompetent, the waiver participant must either date and sign a new Freedom of Choice form or sign and date the original Freedom of Choice form documenting choice of waiver services in the community over institutionalization. This should be completed within 90 days of their 18<sup>th</sup> birthday.</p> <p>NOTE: Look at only those enrolled, re-enrolled or who turned 18 during the review period.</p> <p>Source: ID/RD Waiver Manual</p>

<b>G9-20 R</b>	<b>The most current Level of Care Determination is dated within 365 days of the last Level of Care determination and is completed by the appropriate entity</b>	<p>Review the most recent and previous Level of Care evaluations to ensure that recertification occurred within 365 days. Initial ICF/ID evaluations are requested from SCDDSN's Consumer Assessment Team. Re-evaluations are completed by Service Coordinators for all consumers except for those participants whose eligibility determination is "Time-Limited", or "High Risk". The Consumer Assessment Team must complete these evaluations. If the re-evaluation was not completed by the Consumer Assessment Team, then the Level of Care is not valid. The date the Level of Care re-evaluation is completed is the effective date. Therefore, if the Level of Care Re-evaluation was completed on July 3, 2008 the effective date would be 7/3/08 with an expiration date of 7/2/09.</p> <p><b>Note: Look only at timeframes and who completed it.</b></p> <p><b>Source: ID/RD Waiver Manual</b></p>
G9-21	The current Level of Care is supported by the assessments and documents indicated on the Level of Care determination	<p>Review the most current LOC determination and compare it to information in the assessments/documents referenced as sources for the Level of Care evaluation to determine if documentation supports the current Level of Care assessment.</p> <p><b>Note: Look only at lines on LOC assessments</b></p> <p><b>Source: ID/RD Waiver Manual</b></p>
<b>G9-22 R</b>	<b>The Current Level of Care is completed appropriately</b>	<p><b>Review the most current LOC determination to ensure all sections of the LOC Determination Form are complete with appropriate responses.</b></p> <p><b>Note: Ensure that all areas are complete or checked.</b></p> <p><b>Source: ID/RD Waiver Manual</b></p>
G9-23	Acknowledgment of Rights and Responsibilities (ID / RD Form 2) is completed annually	<p>Review the record to ensure that the Acknowledgement of Rights and Responsibilities is present. Review signature dates (signed by participant or legal guardian, if applicable) on the current and previous forms to ensure they have been completed annually (within 12 months of the previous form).</p> <p><b>Source: ID/RD Waiver Manual</b></p>
G9-24	ID/RD Waiver services are provided in accordance with the service definitions found in the Waiver document	<p>Review Service definitions in the ID/RD Waiver document (Chapter 2 of the ID/RD Manual) for each service that the participant is receiving. Review the participant's Plan, service notes and relevant service assessments to ensure that services are being provided according to the definitions.</p> <p><b>Source: ID/RD Waiver Manual</b></p>
<b>G9-25 R</b>	<b>If Nursing Services are provided, an order from the physician is present and is consistent with the authorization form (ID/RD Form A-12)</b>	<p><b>Review record to ensure that a physician's order is available and is consistent with the type of Nursing Services authorized for the participant (RN or LPN).</b></p> <p><b>Note: Do not look at Nursing Services for children (State Plan Service).</b></p> <p><b>Source: ID/RD Waiver Manual</b></p>

G9-26	ID/RD Waiver services are received at least every 30 calendar days	<p>Review service notes and Plan to ensure that the participant has received or is receiving at least one ID/RD Waiver service every 30 calendar days during the review period. A service must be received at least every 30 calendar days. If at least one service was not received every 30 calendar days, the participant should have been disenrolled from the Waiver.</p> <p>Note: Children's PCA and Private Duty Nursing do not count, as they are State Plan Medicaid Services.</p> <p>Source: ID/RD Waiver Manual</p>
G9-27	Authorization forms are properly completed for services as required, prior to service provision	<p>Review the participant's plan, and ensure that authorization forms for services received are present and note a "start date" for services that is the same or after the date of the Service Coordinator's signature. Ensure that authorization forms are addressed to the appropriate entity (i.e., the DHHS-enrolled or contracted provider) and accurately indicate the entity to be billed (i.e., DHHS or the Financial Manager). Ensure that the amount and frequency are consistent with the plan. Authorization forms are required for all services except Prescribed Drugs, Adult Vision Services, Adult Dental Services, and an Audiological Evaluation.</p> <p>Source: ID/RD Waiver Manual</p>
G9-28	Service notes reflect monitorship within the first month of the start of an ongoing ID/RD Waiver service or provider change	<p>Review the Plan, service notes, and service authorizations to determine if the participant began receiving a new ongoing service and/or changed providers of a previously received ongoing service during the review period. If so, review service notes, the Plan and other documentation in the record to determine if the service was monitored within 1 month of the start date or provider change.</p> <p>Source: ID/RD Waiver Manual</p>
G9-29	Service notes reflect monitorship within the second month from the start of an ongoing ID/RD Waiver service or provider change	<p>Review the Plan, service notes and service authorizations to determine if the participant began receiving a new ongoing service and/or changed providers of a previously received ongoing service during the review period. If so, review service notes, the Plan and other documentation in the record to determine if the service was monitored within the second month of the start date or provider change.</p> <p>Source: ID/RD Waiver Manual</p>
G9-30 W	<p>Service notes reflect on-site monitorship of Adult Day Health, Adult Attendant Care, Personal Care, and/or Nursing, while service is being provided. This monitorship must occur within 1 month of the start of service (within 2 weeks of start of Adult Attendant Care Services) or provider change and once yearly unless otherwise noted by supervisor exception and documented approval</p>	<p>Review service notes, the Plan, and other documentation in the record to determine if documentation is available to support that an on-site visit was provided as required for each applicable Waiver service the participant is receiving. If an exception is noted, documentation must be available noting why and must be only for extreme circumstances (i.e., the service is only provided in extremely early or late hours).</p> <p>NOTE: If service is provided before 7 am or after 9 pm, on-site monitorship is not required.</p> <p>Source: ID/RD Waiver Manual</p>

G9-31	Service notes reflect monitorship with the recipient within 2 weeks of a one-time service and reflect the service was received	Review service notes, the Plan and service authorizations to determine if the any one-time services were received during the review period. If so, review the service notes to determine if the service was monitored within 2 weeks of receipt to determine if the participant received the service.  Source: ID/RD Waiver Manual
G9-32	Services notes reflect an on-site monitorship of environmental modifications within 2 weeks of completion	Review service notes, the Plan, and service authorizations to determine if an environmental modification was completed during the review period. If so, review the service notes to determine if the modification was seen by the Service Coordinator within 2 weeks of the completion date.  Source: ID/RD Waiver Manual
G9-33	Service notes reflect an on-site monitorship of private vehicle modifications within 2 weeks of completion	Review service notes, the Plan, and service authorizations to determine if a private vehicle modification was completed during the review period. If so, review the service notes to determine if the modification was seen by the Service Coordinator within 2 weeks of the completion date.  Source: ID/RD Waiver Manual
G9-34	Service notes reflect an on-site monitorship, if hearing aid is provided, within 2 weeks of the participant receiving the aide(s)	Review service notes, the Plan and service authorizations to determine if a hearing aid was provided during the review period. If so, review the service notes to determine if monitorship was provided on-site by the Service Coordinator within 2 weeks of the date of receipt or notification of service by consumer.  Source: ID/RD Waiver Manual
G9-35	For any one-time assistive technology item costing \$2500.00 or more, the Service Coordinator has made an on-site visit to observe the item	Review service notes, the Plan and service authorizations to determine if any one-time assistive technology item costing over \$2500.00 was provided during the review period. If so, review the service notes to determine if the item was seen in the recipient's possession by the Service Coordinator.  Source: ID/RD Waiver Manual
G9-36	The Participant/Legal Guardian (if applicable) was notified in writing regarding any denial, termination, reduction, or suspension of ID/RD Waiver services with accompanying reconsideration/appeals information	Review service notes to determine if during the review period any Waiver services were reduced, suspended, terminated, or denied. If this is noted, then review the service notes to determine if the participant/legal guardian was notified in writing regarding the denial, suspension, termination or reduction of the service and provided with the appropriate reconsideration/appeals process.  Note: If the participant/legal guardian (if applicable) requested to terminate, suspend, or reduce the service, this Indicator is N/A  Source: ID/RD Waiver Manual

G10	PDD Program	Guidance
G10-01	PDD Waiver participants must meet all eligibility criteria	<p>Review the record to determine if the child meets the criteria for services through the PDD Program:</p> <ul style="list-style-type: none"> <li>• Be ages 3 through 10 years.</li> <li>• Diagnosed with a PDD by age eight years. The diagnosis must be made by a qualified, licensed or certified diagnostician. Children who are currently eligible for DDSN under the Autism Division must meet these criteria.</li> <li>• Meet Medicaid financial criteria or provide documentation of financial ineligibility for Medicaid.</li> <li>• Meets ICF/ID Level of Care medical criteria (as determined by the DDSN Consumer Assessment Team for this program).</li> </ul> <p>Note: Children who do not meet ICF/ID Level of Care, but meet all other eligibility requirements may receive services outside the waiver through the State Funded PDD program if funding is available.</p> <p>Source: PDD Waiver Manual</p>
G10-02	The Freedom of Choice Form is present for PDD Waiver recipients	Review the record to ensure that the Freedom of Choice form is present in the record. The form must be "checked" to indicate choice of Waiver services in the community over institutionalization and signed by the child's parent/legal guardian.
G10-03	The Initial Level of Care is present	Review the initial LOC determination to determine if it was completed prior to or on the date of Waiver enrollment.
<b>G10-04 R</b>	<b>The most current Level of Care Determination is dated within 365 days of the last Level of Care Determination and is completed by the Consumer Assessment Team</b>	<b>Review the most recent and previous Level of Care evaluations to ensure that recertification occurred within 365 days. Initial ICF/ID evaluations are requested from SCDDSN's Consumer Assessment Team. The Case Manager must submit a packet of information to the team to determine LOC. Reevaluations are completed by the Consumer Assessment Team. If the re-evaluation was not completed by the Consumer Assessment Team, then the Level of Care is not valid. The date the Level of Care Re-evaluation is completed is the effective date. Therefore, if the Level of Care Re-evaluation was completed on July 3, 2003 the effective date would be 7/3/03 with an expiration date of 7/2/04.</b>
G10-05 W	Documentation is present verifying that a choice of providers was offered to the child's parents/legal guardians for each PDD service	Review the contact notes, the child's Plan and other file documents to determine if the parents/legal guardians were given a choice of provider of service before the service (i.e. Case Management and EIBI) was authorized.
G10-06	The Acknowledgment of Rights and Responsibilities is completed annually	Review the record to ensure that the Acknowledgement of Rights and Responsibilities is present. Review signature dates on the current and previous forms to ensure they have been completed annually.
G10-07	PDD services are provided in accordance with the service definitions	<p>Review Service definitions in the PDD Manual for each service that the child is receiving. Review the child's Plan, contact notes and relevant service authorizations to ensure that services are being provided according to the definitions.</p> <p>Note: Correct terminology is required (example: "EIBI" not ABA)</p>

G10-08	For PDD Waiver recipients, PDD Waiver services are received at least every 30 days	Review services notes and the Plan to ensure that the person has received or is receiving at least one Waiver service every 30 days during the review period. A service must be received at least every 30 days. If at least one service was not received every 30 days, the person should have been disenrolled from the Waiver.
G10-09	Authorization forms are completed for services, as required, prior to service provision	Review the child's budget and Plan to ensure that Authorization for Services forms are present and note a "start date" for services that is the same or after the date of the Case Manager's signature. Authorization forms are required for all services.
G10-10	The Person/Legal Guardian was notified in writing regarding any denial or termination of PDD services with accompanying appeals information	Review contact notes to determine if during the review period any Waiver services were reduced, suspended, terminated or denied. If this is noted, then review the contact notes to determine if the parent/legal guardian was notified in writing and provided with the appropriate appeals process.
G10-11	The Plan clearly includes and justifies the need for all PDD Waiver services received	Review the Plan, service authorizations to ensure that all PDD Waiver services are included and supported by assessed need in the child's Plan. Services should be identified and provided according to PDD Waiver service definitions. <ul style="list-style-type: none"> <li>• Each need is to be addressed separately.</li> <li>• The term "EIBI" should be used to introduce the service (e.g. EIBI Assessment, EIBI Plan Implementation, etc.)</li> </ul>
G10-12	The record must reflect that the child's parent/legal guardian was offered the opportunity to participate in planning	Review the Case Management record to ensure the child's parent/legal guardian was afforded the opportunity to participate in planning. This should be demonstrated in the record by inviting the child's parent/legal guardian to meet to discuss plans, by scheduling the meeting (If a meeting is chosen) at a time and location that facilitated participation, by soliciting input prior to the actual meeting if attendance is not possible, or by allowing participation in the meeting by phone or other means. The requirement is that the opportunity be afforded, not that participation occur.
G10-13	The parent/legal guardian was provided a copy of the Plan	Review the service notes to verify that the child's parent/legal guardian was provided a copy of the Plan.
G10-14	Case Managers who serve children in the PDD Program must meet the minimum requirements for the position	Determine from personnel records if the minimum requirements for employment were met.  Refer to the contract between SCDHHS and SCDDSN (amended January 2010) pertaining to The Purchase and Provision of Home and Community-Based Pervasive Developmental Disorder Waiver Services.
G10-15	Records include documentation of verification that Case Managers are free from tuberculosis	Review TB results of each Case Manager from personnel sample. Check documentation for the following: <ul style="list-style-type: none"> <li>• Must have a PPD Tuberculin skin test no more than ninety (90) days prior to employment, unless a previously positive reaction can be documented. Must have a PPD Tuberculin skin test no more than ninety (90) days prior to employment, unless a previously positive reaction can be documented.</li> <li>• In lieu of a PPD tuberculin test no more than 90 days prior to employment, a new employee may provide certification of a negative tuberculin skin test within the 12 months preceding the date of employment and certification from a licensed physician or local health department TB staff that s/he is free of the disease.</li> </ul>

		<ul style="list-style-type: none"> <li>• Employees with negative tuberculin skin tests shall have an annual tuberculin skin test.</li> <li>• New employees who have a history of tuberculosis disease and have had adequate treatment shall be required to have certification by a licensed physician or local health department TB staff (prior to employment and annually) that they are not contagious. Regular employees who are known or suspected to have tuberculosis shall be required to be evaluated by a licensed physician or local health department TB staff, and must not return to work until they have been declared non-contagious.</li> </ul> <p>Refer to the contract between SCDHHS and SCDDSN pertaining to The Purchase and Provision of Home and Community-Based Pervasive Developmental Disorder Waiver Services, Appendix B, Case Management Services, Conditions of Participation, item # 6.</p>
G10-16	Case Managers will provide at least 1 monthly contact with the EIBI service providers and/or family to determine progress/lack of progress on established goals and/or person satisfaction with EIBI providers	<p>Review contact notes in the records to determine if the parents and/or provider has been contacted monthly.</p> <p>Review established goals and monthly progress reports received from the provider to determine progress or the lack of progress.</p> <p>Review contact notes to determine if Case Manager received complaints from families about provider services and, if the Case Manager discussed the concerns with the provider.</p>
G10-17	Case Managers will contact the child's family quarterly	<p>Review contact notes and other documentation to determine:</p> <ul style="list-style-type: none"> <li>• If the family received quarterly contact from the Case Manager</li> <li>• If the entire Support Plan was reviewed and discussed</li> <li>• If the most recent EIBI service provider quarterly data report was reviewed and discussed</li> </ul>
G10-18 W	Case Managers will have at least one face-to-face contact visit with the child and their family annually	Review service notes in the Case Management record to determine if the child served has received face-to-face-contact by the Case Manager at least once per Plan year during each 365-day period.
G10-19 R	<b>Case Managers will ensure the Plan is developed, reviewed and approved every 365 days or more often if needed</b>	<p><b>Review current Plan in the child's record. A current Plan must be present and signed by the Case Manager. A current Plan is defined as one completed within the last 365 days. A Plan must be completed:</b></p> <ul style="list-style-type: none"> <li>• Within 365 days of the last plan</li> <li>• Before PDD Services are authorized or provided</li> </ul>

<b>G10-20 R</b>	<b>Case Managers are responsible for preparing and submitting all documents needed for timely determination of the ICF/ID LOC by the Consumer Assessment Team. The most current Level of Care Determination is dated within 365 days of the last Level of Care determination</b>	<b>Review the most recent and previous Level of Care evaluations to ensure that recertification occurred within 365 days. Initial ICF/ID evaluations are requested from SCDDSN's Consumer Assessment Team. The Case Manager must submit a packet of information to the team to determine LOC. Reevaluations are completed by the Consumer Assessment Team. If the re-evaluation was not completed by the Consumer Assessment Team, then the Level of Care is not valid. The date the Level of Care Re-evaluation is completed is the effective date. Therefore, if the Level of Care Re-evaluation was completed on July 3, 2003 the effective date would be 7/3/03 with an expiration date of 7/2/04.</b>
G10-21	Case Managers must document all activities in the child's record	Contact notes must include the following: name and title of contact person, type of contact, location of contact, purpose of contact, intervention or services provided, the outcome, needed follow-up, and the date and signature of the Case Manager.
G10-22	Case Managers must document the date on which the child's referral was first received and the date all actions taken thereafter	Review contact notes to determine if the family's initial choice of a Case Management provider was documented. Review the records for the Choice of Provider form and ensure it was signed and dated by the child's parents/legal guardians. Review the notes to ensure all subsequent entries are dated.
G10-23	Case record documentation must reflect that the child's parents were given information on all EIBI qualified providers in the State and given guidance on which providers are in close proximity to the parent/legal guardian's community	Review the contact notes and the person's Plan to determine if the parent/legal guardian was given information on all EIBI qualified providers in the State of South Carolina and given guidance on which providers are in close proximity to the parent/legal guardian's community.
G10-24	Case Managers must utilize required forms, completed properly, and they must include the required signatures	Review the PDD Manual including the index of forms. Compare this to the actual documents found in the person's file to determine proper usage. Review all documents for signatures and dates as required.
G10-25	Case Manager's must assure, and records must reflect that each child's parent has been provided with information about how to file a complaint	Review records to ensure that parents are provided information on the Reconsideration/Appeals Process at least annually and at any relevant action such as termination or denial of services.



G10-26	Case Managers are required to attend at least one in-service training annually related to autism and the provision of case management to individuals enrolled in the PDD Waiver. The training must be facilitated by the Autism Division	Review documentation in the personnel file to ensure annual training occurred as required.
G10-27 W	Case Management records are maintained and include required information	<p>Review the Case Management record to determine if records include the following:</p> <ul style="list-style-type: none"> <li>• A current Single/Support Plan (After 7/1/07 the Support Plan will be used)</li> <li>• Current IEP (for school age children) It is only required to</li> <li>• Obtain a new/current IEP during annual Service Coordination plan development.</li> <li>• Service Notes (when reviewing service notes, check to make sure that service notes are typed or handwritten in black or dark blue ink, legible, in chronological order, entries dated and signed with the date, Service Coordinator's name and title or initials (a signature/initial sheet must be maintained at the Service Coordination provider's office), if abbreviations or symbols are used, there is a list of any abbreviations or symbols maintained at the Service Coordination provider's office, persons referenced are identified by their relationship to the person receiving services either at least once on each page or on a separate list located in each record, proper error correction procedures are followed if errors have occurred and no correction fluid or erasable ink was used)</li> </ul>

G10	EIBI Providers Only	Guidance
G10-28	All individuals who serve as the EIBI Consultant must meet requirements	<p>Review personnel files for documentation, credentials and written evidence to support and demonstrate that employees meet the minimum requirements for the position in which they serve.</p> <p>All individuals who serve as the EIBI Consultant must meet the following requirements:</p> <ul style="list-style-type: none"> <li>• A master's degree in behavior analysis, education, psychology, or special education; and</li> <li>• Current certification by the Behavior Analyst Certification Board as a Board Certified Behavior Analyst (BCBA); and</li> <li>• At least one year of experience as an independent practitioner; and</li> <li>• Successfully complete the initial approval process which includes an interview and the submission of a Work Sample that is reviewed and critiqued for competency by the DDSN interview team <b>or</b></li> <li>• A bachelor's degree in behavior analysis, education, psychology, or special education; and</li> <li>• Current certification by the Behavior Analyst Certification Board as a Board Certified Associate Behavior Analyst (BCABA); and</li> <li>• At least two years of experience as an independent practitioner, and</li> <li>• Successfully complete the initial approval process which includes an interview and the submission of a Work Sample that is reviewed and critiqued for competency by the DDSN interview team; or</li> <li>• A bachelor's degree in behavior analysis, education, psychology, or special education; and</li> <li>• At least three years of experience as an independent practitioner; and</li> </ul> <p>Successfully complete the initial approval process which includes an interview and the submission of a Work Sample that is reviewed and critiqued for competency by the DDSN interview team.</p>
G10-29	All individuals who serve as Lead Therapists must meet requirements	<p>Review personnel files for documentation, credentials and written evidence to support and demonstrate that employees meet the minimum requirements for the position in which they serve.</p> <p>All individuals who serve as Lead Therapist must meet the following requirements unless an exception has been granted by DDSN:</p> <ul style="list-style-type: none"> <li>• A bachelor's degree in behavior analysis, education, psychology, or special education; and</li> <li>• Has at least 500 hours of supervised line therapy or supervised experience in implementing behaviorally based therapy models consistent with best practices and research on effectiveness, for children with Pervasive Developmental Disorder to include autism and Asperger's disorder.</li> </ul> <p>If an exception has been granted, there must be written evidence from DDSN.</p>

G10-30	All individuals who serve as Line Therapists must meet requirements	<p>Review personnel files for documentation, credentials and written evidence to support and demonstrate that employees meet the minimum requirements for the position in which they serve.</p> <p>All individuals who serve as Line Therapists must meet the following requirements:</p> <ul style="list-style-type: none"> <li>• Be at least 18 years old and a high school graduate;</li> <li>• Be able to speak, read and write English;</li> <li>• Have documentation of receiving the required training as listed below prior to providing a service: <ul style="list-style-type: none"> <li>a. Current First Aid Certification (must be renewed at least every three years)</li> <li>b. Current CPR Certification (must be renewed annually)</li> <li>c. Confidentiality, Accountability, and Prevention of Abuse and Neglect</li> <li>d. At least 12 hours of training in the implementation of applied behavior analysis to include at least 3 hours of autism and PDD specific training</li> </ul> </li> <li>• Have documentation of receiving the required annual in-service training of at least 5 hours in the implementation of applied behavior analysis, autism or PDD specific training.</li> <li>• Have documentation of a clear background check conducted by the provider prior to providing a service and at least annually thereafter in the following areas: <ul style="list-style-type: none"> <li>a. Not listed in the DSS Child Abuse Central Registry</li> <li>b. Have no felony convictions as determined by an officially obtained SLED report</li> <li>c. Provide a copy of current, valid driver's license (If no driver's license submit a copy of an Official State ID Card)</li> <li>d. PPD Tuberculin Test</li> </ul> </li> </ul>
G10-31	There must be documentation those individuals / entities that are on the qualified provider list for EIBI services completed the initial approval process	<p>All EIBI providers should have the following documentation on file for the initial approval process:</p> <ul style="list-style-type: none"> <li>• A completed Early Intensive Behavior Intervention Provider Application (must be signed and dated) and all required attachments (e.g. a current curricula vita and 1) an educational / behavioral testing evaluation (preferably the ABLLS), 2) an educational program or program example to include data / graphs and progress updates and, 3) a Behavioral Support Plan to include a Functional Assessment for which you have written / developed and implemented for an individual with a Pervasive Developmental Disorder.</li> <li>• The Provider Approval Letter</li> <li>• The Provider Pre-Enrollment Information for Participation in the Pervasive Developmental Disorder Waiver Program form</li> <li>• The W-9</li> <li>• The Medicaid Enrollment Form</li> <li>• The EIBI Certification Letter</li> </ul>
G10-32	Individuals / entities that become approved providers of EIBI services submit required data to the child's Case Manager and the Autism Division within the timeframes specified	<p>Review the child's records to determine the date services began and look for data reports that correspond to that date:</p> <ul style="list-style-type: none"> <li>• Progress reports: must be submitted monthly and demonstrate/document that drills are conducted as scheduled</li> <li>• Data reports: must be submitted quarterly and contain cumulative graphs of target areas demonstrating progress or areas of concern</li> </ul>

G10-33	Individuals / entities that become approved providers of EIBI services submit required assessments to the child's Case Manager and the Autism Division within the timeframes specified	<p>Review the child's records to determine the date services began and look for assessments that correspond to that date:</p> <ul style="list-style-type: none"> <li>• Assessment of Basic Language and Learning Skills (ABLLS): must be submitted semi-annually per the initial assessment date</li> <li>• Peabody Picture Vocabulary Test (PPVT) and Vineland: must be submitted annually per the initial assessment date</li> </ul>
--------	--	--

G-11	Community Supports Waiver	Guidance
G11-01 R	The Plan is developed by the Service Coordinator within 365 days	<p>Review current Plan. A current Plan must be present. A current Plan is defined as one completed within the last 365 days. When there is a leap year, the plan date would be calculated accordingly to ensure the plan is developed and signed within 365 days.</p> <p>Except for those transferring from an ICF/ID, Plans must be entered into the Consumer Data and Support System (CDSS) using the Consumer Assessment and Planning (CAP) module unless otherwise approved by the SCDDSN Director of Service Coordination. The Plan implementation date is the date a plan is completed in the CAP module of CDSS.</p> <p>For those receiving Level 1 Service Coordination, a plan must be completed on CDSS:</p> <ul style="list-style-type: none"> <li>• By the 45th calendar day following the determination of eligibility for SCDDSN services</li> <li>• Within 365 days of the last plan</li> <li>• By the 45th day of being transferred from Level II Service Coordination</li> <li>• By the 45th day of being transferred from Early Intervention</li> <li>• Before Waiver Services are authorized/provided.</li> </ul> <p>Source: Support Plan Instructions and the Service Coordination Standards.</p>
G11-02 R	The Plan includes COMMUNITY SUPPORTS Waiver service/s name, frequency of service/s, amount of service/s, duration of service/s, and valid provider type for service/s	<p>For each waiver service received by the person, the plan must document the need for the service, the correct waiver service name, the amount, frequency, duration and the provider type (refer to the COMMUNITY SUPPORTS Waiver Document for provider types/Chapter 2, CSW Manual)</p> <p>The amount of a service that is authorized in units should be specified in units, not in hours or days. The frequency of a service must be expressed in a manner that is consistent with how the service is authorized (e.g. “per month” or “monthly” for Respite, “per week” or “weekly” for Personal Care).</p> <p><b>Note:</b> Regarding “duration” check only that a duration is specified.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-03	Service needs outside the scope of Waiver services are identified in Plans and addressed	<p>Review the Plan, service notes, and other documentation in the record to ensure that the Service Coordinator has identified and addressed all service needs regardless of the funding source.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-04	Needs in the Plan are justified by formal or informal assessment information in the record	<p>Review the Service Coordination record to determine if formal or informal assessment information is available to justify the “need” noted on the Plan for which interventions are being implemented. The assessment information (formal or informal) must be current and accurate. Formal and/or informal assessments may include information provided by the person and/or his/her caregivers</p>

		<p>about the person's current situation, medical status, school records or other formalized assessment tools.</p> <p>At the time of annual planning, the <i>SCDDSN Service Coordination Annual Assessment</i> will be used to identify needs and justify services/interventions reflected in the Support Plan. The <i>SCDDSN Service Coordination Annual Assessment</i> (SCAA) must be completed on the CAP module of CDSS unless otherwise approved by SCDDSN. Information from providers currently providing services should be considered in planning. The record should reflect attempts to secure information from all current service providers. Attempts should be made in sufficient time prior to planning so that information can be secured. If the person is enrolled in the Waiver, then formal or informal assessments and recommendations for all Waiver services will be present.</p> <p>Needs assessment during the course of the year <i>outside</i> of annual planning will be documented in the service notes.</p> <p>Source: "Guidelines on How to Complete the SCDDSN Annual Service Coordination Assessment", Support Plan Instructions, Service Coordination Standards, Waiver Manuals pertaining to needs assessment.</p>
G11-05	Assessment(s) justify the need for all COMMUNITY SUPPORTS Waiver services included on the plan	<p>Review the Plan, DDSN Service Coordination Annual Assessment, and service notes to ensure that all COMMUNITY SUPPORTS Waiver services included on the Plan are supported by assessed need.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-06	Services/ Interventions are appropriate to meet assessed needs	<p>Interventions are identified to address assessed "needs".</p> <p>Interventions must have a logical connection to the need.</p> <p>Source: "<i>Guidelines for Completion of the SCDDSN Service Coordination Annual Assessment</i>" for defined resources and the Service Coordination Standards glossaries. Also, reference Service Coordination Standards and Waiver Manuals.</p>
G11-07	The Plan identifies appropriate funding sources for services/interventions	<p>Appropriate funding sources are identified for every service/intervention. Review the person's "current resources" identified in the SCDDSN Service Coordination Annual Assessment (or the service notes when needs assessment occurs outside of planning and resources have changed from those noted on the Plan) to determine what resources the person has. Compare the person's resources to the services/interventions noted on the Plan to determine if the appropriate funding source is listed for the service/intervention to be/being provided.</p> <p>Source: "<i>Guidelines for Completion of the SCDDSN Service Coordination Annual Assessment</i>" for defined resources and the Service Coordination Standards glossaries. Also, reference Service Coordination Standards and Waiver Manuals.</p>

G11-08	The Plan is amended / updated as needed	<p>Review all plans and service notes in effect during the review period to determine if:</p> <ol style="list-style-type: none"> <li>updates are made when new service needs or interventions are identified,</li> <li>there have been significant changes in the person's life,</li> <li>a service is determined to not be effective,</li> <li>a need/s has/have been met,</li> <li>the person is not satisfied.</li> </ol> <p>When any part of the "Needs/Interventions" section (Section D) of the plan is no longer current, an amendment/update must be completed using the CAP module of CDSS. It is acceptable to have a brief service note provided the change/update is explained in detail on the "needs change" form printed from the CAP module of CDSS for the file. For new needs identified during the course of the year, needs assessment and identification of the need will be in the service notes and, if applicable, a new "needs/interventions" page will be added to the plan using the CAP module of CDSS. Plan must be current at all times.</p> <p>Source: Support Plan Instructions, Service Coordination Standards and Waiver Manuals. Supports CQL Shared Values Factor 8</p>
G11-09 W	<p>Contact occurs as required:</p> <ol style="list-style-type: none"> <li>Face-to-face contacts occur every 6 months</li> <li>Every other month (bi-monthly), at least one contact (as defined by SC Standards) is made</li> </ol>	<p>Beginning 7/1/11, review to determine that:</p> <ol style="list-style-type: none"> <li>Face-to-face visits occur every 6 months and are with the person receiving services and/or legal guardian.</li> <li>At least one contact is made every other month (bi-monthly).</li> </ol> <p>A contact is defined as any of the following:</p> <ul style="list-style-type: none"> <li>A face-to-face encounter for the purpose of performing a core function.</li> <li>A telephone call, letter or email when a face-to-face contact is not required or is not possible for the purpose of performing a core function</li> </ul> <p>Source: Service Coordination Standards</p>
G11-10	The Plan is reviewed at least every 6 months	<ol style="list-style-type: none"> <li>Review the Plan to determine if all needs and interventions were reviewed as often as needed, but at least every 6 months.</li> <li>Ensure that needs and interventions were implemented as prescribed in the Plan.</li> </ol> <p>Six Month reviews are completed on the CAP module of CDSS. Monitoring/review forms on CAP include all of the necessary components of monitoring</p> <p>Refer to Service Coordination Standards and Support Plan Instructions</p>
G11-11	A valid Service Agreement is present and signed as appropriate	<p>A valid Service Agreement (review most recently completed Service Agreement to assure that it is dated and signed.) For children and for adult's adjudicated incompetent, the current legal guardian (if applicable) must sign the form.</p>

		<p>For those 18 years and older or those with a name change, a new Service Agreement should be signed by the person. The most current Service Agreement that is signed and dated by the appropriate party must be filed in the primary case record. Score "Not Met" if there is not a Service Agreement in the primary case record and/or it is not signed and dated by the appropriate party. If a person is unable to sign but can make their "mark", the mark must be witnessed. If a person is unable to sign or make their mark on the Service Agreement, there will be an explanation on the form and supporting documentation in the file.</p> <p>Source: Service Coordination Standards</p>
G11-12 W	If determined eligible for DDSN services after 9/2001, an eligibility correspondence from the CAT is on file	<p>Review the Service Coordination record for SCDDSN Eligibility Determination Correspondence (correspondence from the Consumer Assessment Team regarding the person's eligibility. If prior to 9/01, information may not be available from the Consumer Assessment Team; therefore, absence of eligibility information prior to 9/01 should not be held against the provider.</p> <p>Source: Service Coordination Standards</p>
G11-13	The person/legal guardian (if applicable) will receive information on abuse and neglect annually	<p>Check the record for documentation that information was provided to person/legal guardian. This may be found in service notes or as a form letter in the record. Information must define what abuse and neglect is and how to report.</p> <p>Source: Service Coordination Standards; CQL Basic Assurances 1, 2, 4,10</p>
G11-14	Beginning 3/1/2011, at the time of annual planning, all children enrolled in the ID/RD or CS Waiver receiving CPCA services must have a newly completed physician's order (Physician's Information Form – MSP Form 1), assessment (CPCA Assessment – MSP Form 2), and authorization (MSP – Form 3)	See MSP forms/attachments in the miscellaneous Chapters of the ID/RD and CS Waiver Manuals.
G11-15	If a child is assessed to need over 10 hours of Children's PCA services per week, DDSN prior authorization is obtained	Review file for an email correspondence giving approval of requested units of CPCA services. If service units were not approved prior to initiation of the service, or prior to the completion of the annual plan, there must be a correspondence present allowing flexibility with approval.



G11-16	If a child receives CPCA services, the Service Needs Requirement and, unless otherwise specified, a Functional deficit exists (check only for those receiving 10 hours or less of CPCA services)	<p>Refer to CPCA services section of the Waiver Manual (Miscellaneous chapter), page one, for guidance to determine if the child meets the "Special Needs Requirement" and has one of the four allowable "Functional Deficits".</p> <p>Look for The Physician's Information Form – it will be present and indicate if a doctor agrees CPCA services is needed to meet the Special Needs Requirement (section II. Of the form).</p> <p>Look for the CPCA Assessment – it gives information to determine if at least one functional deficit is present.</p>
G11-17	Upon notification of an identified health care need, the Service Coordinator has provided information for, offered choice of and monitored a person's access to health care services/providers (inclusive of primary health care provider / physician) when health care needs are identified	<p>As needs are identified for health care, the person's options for health care and choice of health care providers were discussed to make sure the person has accessed health care to address needs. The record clearly reflects the person/legal guardian's (if legal guardian is applicable) decision not to have a primary physician, or if the record reflects the person has a primary physician and is satisfied with his/her physician, the record does not have to show that the Service Coordinator provided information for and offered choice of primary healthcare services/providers. All persons must have a choice of physician/specialist for healthcare needs even if the Board / Provider contracts with a physician unless there are no other physicians in the area.</p> <p>Medical records/reports can serve as a form of assessment provided the Service Coordinator has addressed all recommendations from those reports and by providing information (understanding of options of care and choice of providers) and monitoring access of healthcare services as a result of the recommendations.</p> <p>NOTE: Where there is no reasonable choice available due to the presence of only one qualifying physician within a reasonable distance, this item should be scored "Met" reflecting compliance provided that this is documented in the record.</p> <p>Source: Service Coordination Standards Supports CQL Basic Assurances Factors 5 &amp; 9, Shared Values Factor 3</p>
G11-18	Documentation is present verifying that a choice of provider was offered to the person/ family for each new COMMUNITY SUPPORTS Waiver service	<p>Review the service notes and the person's Plan to determine if the person was given a choice of provider of service each time a new service need was identified/ authorized.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>

G11-19	The Freedom of Choice Form is Present	<p>Review the record of those enrolled or re-enrolled during the review period (this is not to include the “back-up” record) to ensure that Freedom of Choice Form is present in the record. The form must be checked to indicate choice of waiver services in the community over institutionalization, completed (properly filled out), and signed by the waiver participant or his/her legal guardian (if applicable).</p> <p>For forms completed during the review period, if the waiver participant is over age 18 and not adjudicated incompetent but is physically unable to sign the form, the form and the service notes should indicate why signed choice was not obtained. If the person has reached the age of majority since waiver enrollment during the review period and has not been adjudicated incompetent, the waiver participant must either date and sign a new Freedom of Choice form or sign and date the original Freedom of Choice form documenting choice of waiver services in the community over institutionalization. This should be completed within 90 days of their 18<sup>th</sup> birthday.</p> <p>Note: Look at only those enrolled, re-enrolled or who turned 18 during the review period.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-20 R	The most current Level of Care Determination is dated within 365 days of the last Level of Care determination and is completed by the appropriate entity	<p><b>Review the most recent and previous Level of Care evaluations to ensure that recertification occurred within 365 days. Initial ICF/ID evaluations are requested from SCDDSN's Consumer Assessment Team. Re-evaluations are completed by Service Coordinators for all consumers except for those persons whose eligibility determination is "Time-Limited", "At Risk" or "High Risk". The Consumer Assessment Team must complete these evaluations. If the re-evaluation was not completed by the Consumer Assessment Team, then the Level of Care is not valid. The date the Level of Care re-evaluation is completed is the effective date. Therefore, if the Level of Care Re-evaluation was completed on July 3, 2008 the effective date would be 7/3/08 with an expiration date of 7/2/09.</b></p> <p><b>Note: Look only at timeframes and who completed it.</b></p> <p><b>Source: COMMUNITY SUPPORTS Waiver Manual</b></p>
G11-21	The current Level of Care is supported by the assessments and documents indicated on the Level of Care determination	<p>Review the most current LOC determination and compare it to information in the assessments/documents referenced as sources for the Level of Care evaluation to determine if documentation supports the current Level of Care assessment.</p> <p>Note: Look only at lines on the LOC Assessment</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-22 R	The Current Level of Care is completed appropriately	<p><b>Review the most current LOC determination to ensure all sections of the LOC Determination Form are complete.</b></p> <p><b>Note: Ensure that all areas are complete with appropriate responses.</b></p> <p><b>Source: COMMUNITY SUPPORTS Waiver Manual</b></p>

G11-23	Acknowledgment of Rights and Responsibilities (CSW Form 2) is completed annually	<p>Review the record to ensure that the Acknowledgement of Rights and Responsibilities is present. Review signature dates (signed by person or legal guardian, if applicable) on the current and previous forms to ensure they have been completed annually (within 12 months of the previous form).</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-24	COMMUNITY SUPPORTS Waiver services are provided in accordance with the service definitions	<p>Review Service definitions in the COMMUNITY SUPPORTS Waiver document for each service that the person is receiving. Review the person's Plan, service notes and relevant service assessments to ensure that services are being provided according to the definitions.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-25	COMMUNITY SUPPORTS Waiver services are received at least every 30 calendar days	<p>Review service notes and Plan to ensure that the person has received or is receiving at least one COMMUNITY SUPPORTS Waiver service every 30 calendar days during the review period. A service must be received at least every 30 calendar days. If at least one service was not received every 30 calendar days, the person should have been disenrolled from the Waiver.</p> <p>Note: <u>Children's PCA is state plan Medicaid</u></p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-26	Authorization forms are completed for services as required, prior to service provision	<p>Review the person's Plan to ensure that Authorization forms for services received are present and note a "start date" for services that is the same or after the date of the Service Coordinator's signature. Ensure that authorization forms are addressed to the appropriate entity (i.e., the DHHS enrolled or contracted provider) and accurately indicate the entity to be billed (i.e., DHHS or the Financial Manager). Ensure that the amount and frequency are consistent with the plan.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-27	Service notes reflect monitorship within the first month of the start of an ongoing COMMUNITY SUPPORTS Waiver service or provider change	<p>Review the Plan, service notes, and service authorizations to determine if the person began receiving a new ongoing service and/or the person changed providers of a previously received ongoing service during the review period. If so, review service notes, the Plan and other documentation in the record to determine if service or provider change was monitored within 1 month of the start date or provider change.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>
G11-28	Service notes reflect monitorship within the second month from the start of an ongoing COMMUNITY SUPPORTS Waiver service or provider change	<p>Review the Plan, service notes, and service authorizations to determine if the person began receiving a new ongoing service and/or the person changed providers of a previously received ongoing service during the review period. If so, review service notes to determine if service or provider change was monitored within the second month after the start date or provider change.</p> <p>Source: COMMUNITY SUPPORTS Waiver Manual</p>

G11-29	Service notes reflect on-site monitorship of In-Home Support services and Personal Care while service is being provided. This monitorship must occur within 1 month of the start of service (within 2 weeks of start of In-Home Support Services) or provider change and once yearly unless otherwise noted by supervisor exception and documented approval	Review service notes, the Plan, and other documentation in the record to determine if documentation is available to support that an on-site visit was provided as required for each applicable Waiver service the person is receiving. If an exception is noted, documentation must be available noting why and must be only for extreme circumstances (i.e., the service is only provided in extremely early or late hours). NOTE: If service is provided before 7 am or after 9 pm, on-site monitorship is not required.  Source: COMMUNITY SUPPORTS Waiver Manual
G11-30	Service notes reflect monitorship with the recipient within 2 weeks of a one-time service and reflect the service was Received	Review service notes, the Plan and service authorizations to determine if the any one-time services were received during the review period. If so, review the service notes to determine if the service was monitored within 2 weeks of receipt to determine if the person received the service.  Source: COMMUNITY SUPPORTS Waiver Manual
G11-31	Services notes reflect an on-site monitorship of environmental modifications within 2 weeks of completion	Review service notes, the Plan, and service authorizations to determine if an environmental modification was completed during the review period. If so, review the service notes to determine if the modification was seen by the Service Coordinator within 2 weeks of the completion date.  Source: COMMUNITY SUPPORTS Waiver Manual
G11-32	Service notes reflect an on-site monitorship of private vehicle modifications within 2 weeks of completion	Review service notes, the Plan, and service authorizations to determine if a private vehicle modification was completed during the review period. If so, review the service notes to determine if the modification was seen by the Service Coordinator within 2 weeks of the completion date.  Source: COMMUNITY SUPPORTS Waiver Manual
G11-33	For any one-time assistive technology item costing over \$2500.00, the Service Coordinator has made an on-site visit to observe the item	Review service notes, the Plan and service authorizations to determine if any one-time assistive technology item costing over \$2500.00 was provided during the review period. If so, review the service notes to determine if the item was seen in the recipient's possession by the Service Coordinator.  Source: COMMUNITY SUPPORTS Waiver Manual
G11-34	The Person/Legal Guardian (if applicable) was notified in writing regarding any denial, termination, reduction, or suspension of COMMUNITY SUPPORTS Waiver services with accompanying reconsideration/appeals information	Review service notes to determine if during the review period any Waiver services were reduced, suspended, terminated, or denied. If this is noted, then review the service notes to determine if the person/legal guardian was notified in writing regarding the denial, suspension, termination or reduction of the service and provided with the appropriate reconsideration/appeals process.  Note: If the person/legal guardian (if applicable) requests to terminate, suspend, or reduce the service, this Indicator is N/A.  Source: COMMUNITY SUPPORTS Waiver Manual

## RESIDENTIAL OBSERVATION

July 2012 through June 2013

This tool is to be used by the Quality Assurance Reviewer to gather information to determine whether or not a provider is meeting requirements in the areas listed below. Information may be gathered from interactions with staff and people who receive services, by observations, and/or record review. If observation/discovery shows that the provider is meeting the requirement, a score of “Met” will be recorded. If it is determined that the provider is not meeting the requirement, a score of “Not Met” will be recorded.

	Area	Suggested sources for evidence	Comments	Met	Not Met
1	Health status and personal care needs are known and people are provided the type and degree of CARE necessary to address those needs appropriately	<p>Via interview of staff, people, review records, observation) determine whether or not the following is occurring:</p> <ul style="list-style-type: none"> <li>• Medical conditions /health risks are known and needs are adequately addressed as outlined in the support plan.</li> <li>• Prescribed medications are known.</li> <li>• Potential side effects are known and the actions to take if side effects are noted.</li> <li>• Risks are identified and addressed appropriately (elopement, self-injurious behavior, seizure activity, etc.)</li> <li>• Food provided meets the dietary requirements (restrictions, special preparations)</li> <li>• People receive routine health care and dental exams.</li> <li>• People are referred to specialists for evaluations of seizures, GERD, orthopedic problems, etc.</li> <li>• There are no issues with accessing quality care.</li> <li>• A system is in place to address acute illness promptly and ensure appropriate follow up and staffs are knowledgeable about that system.</li> </ul> <p>Interview people to determine if they:</p> <ul style="list-style-type: none"> <li>• are supported to choose their healthcare providers</li> <li>• make their own appointments if they are capable</li> <li>• are informed about the medications they are taking and why and possible side effects.</li> <li>• People are supported to be clean and well groomed.</li> </ul>		<input type="checkbox"/>	<input type="checkbox"/>

2	People are provided the degree and type of SUPERVISION necessary to keep them safe but not unnecessarily restricted	<p>Through conversation with staff and observation, determine if:</p> <ul style="list-style-type: none"> <li>• Staff knows the person's capability for managing their own behavior.</li> <li>• Person has a plan of supervision.</li> <li>• Staff can describe the plan.</li> <li>• Plan is carried out appropriately. For example, if staff tells you that the person must be visually checked on the hour, observe to see whether or not that occurs and that it is documented as the plan specifies.</li> <li>• Supervision plans are individualized.</li> <li>• People are not receiving more supervision than they require.</li> <li>• Restrictive plans of supervision are reviewed and approved by HRC</li> </ul>		<input type="checkbox"/>	<input type="checkbox"/>
3	People receive assistance with acquisition, retention, or improvement in skills necessary to live in the community, consistent with assessed needs, interests/personal goals	<p>Ask the person to tell you what they are learning and how their goals were chosen. Is training meaningful to them? Is it related to their personal goals? Are they learning new skills? Has training resulted in them becoming more independent? What changes, if any have been made in their training?</p> <p>. Are equipment/materials available to staff to implement plan?</p> <p>If applicable, this includes the individual's formal behavior support plan. Determine the staff's knowledge of the content of the plan including the targeted behaviors, interventions and replacement behaviors. Ask staff how they were trained on the behavior support plan.</p> <p>Are behavioral incidents being documented according to the behavior support plant?</p> <p>How effective is the behavior plan? How often does the behavior support person monitor the plan?</p>		<input type="checkbox"/>	<input type="checkbox"/>

4	People are SAFE	<p>Observe to see if any unsafe conditions are apparent.</p> <p>Are emergency numbers posted/readily available?</p> <p>Are fire drills conducted with individualized supports if needed i.e. flashing lights for people who cannot hear the alarm, etc.?</p> <p>Are people trained on emergency procedures? Ask how they would react if a fire, tornado, etc. happened.</p> <p>Ask staff what their responsibilities are in responding to emergency situations.</p> <p>Are staff familiar with safety equipment and how to operate it?</p> <p>Have modifications been made to facilitate safety based on person's needs i.e. grab bars, ramps, etc.</p> <p>Ask people if they feel safe in the home.</p>		<input type="checkbox"/>	<input type="checkbox"/>
5	People are treated with DIGNITY AND RESPECT	<p>Are people listened to and responded to promptly.</p> <p>Is there interaction between staff and the people who receive services?</p> <p>Are people addressed in their preferred way?</p> <p>Are people extended the same courtesies that anyone would expect?</p> <p>Are personal needs attended to in private?</p> <p>Do people feel they are listened to?</p> <p>Do supports provided emphasize people's capabilities rather than their disabilities or differences?</p> <p>Are people provided meaningful activities and training opportunities?</p> <p>Are people supported to dress, style their hair, the way they prefer?</p>		<input type="checkbox"/>	<input type="checkbox"/>
6	People are supported to learn about their RIGHTS and exercise the rights that are important to them	<p>Ask staff if they are trained to respect people's individual rights.</p> <p>How is knowledge of rights assessed and how rights training is done? Ask people if they know what their rights are and if anyone has ever talked with them about rights.</p> <p>Ask people how their money is handled and whether or not they are satisfied with the process. Do they know how much money they earn or where their funds come from? Do they know where it is kept and how to access it?</p> <p>Are people able to access personal possessions?</p>		<input type="checkbox"/>	<input type="checkbox"/>

		<p>Do they have a key to their room and the house if they so desire?</p> <p>Observe to see if people move freely throughout the home.</p> <p>If there are house rules, were the people involved in the development of them?</p> <p>Are there locks on cabinets, pantries, etc.?</p> <p>Do people have access to money/belongings and a place to secure them?</p> <p>Are people encouraged to advocate for themselves?</p> <p>Are people supported to have choices (bedtimes, mealtimes, activities, etc.)?</p> <p>Do people have opportunity for privacy? Spend time alone if they so desire.</p> <p>Open their own mail?</p> <p>Is information about the person kept confidential?</p> <p>If rights are restricted, is Due Process afforded?</p> <p>Do people attend Human Rights Committee meetings and actively participate in decisions that affect them?</p>			
7	Staff know and implement the procedures for ABUSE and people are supported to know what abuse is and how and to whom to report it	<p>Do staff know what constitutes abuse and how to report? Does training include prevention? Are people who receive services trained on abuse?</p> <p>Ask if people know what abuse is. What would they do if they were abused?</p> <p>Would they know how to report? To whom would they report?</p> <p>Ask staff what happens when abuse occurs? Does the person who is abused receive appropriate follow-up (medical care, counseling, information about the resolution)?</p>		<input type="checkbox"/>	<input type="checkbox"/>
8	Does the provider have a process to determine whether or not people are SATISFIED with services?	<p>Ask staff how they know whether or not the people they work with are satisfied with the services they provide them.</p> <p>What concerns have been expressed?</p> <p>Ask staff and people served to explain the process for expressing a complaint.</p> <p>Ask people if they have had a complaint and what they did about it. Was it resolved in a timely manner and to their satisfaction?</p> <p>Determine if the supports provided are meeting the expectations of the people served.</p>		<input type="checkbox"/>	<input type="checkbox"/>



9	STAFF can describe their roles/ responsibilities in supporting people	<p>What do staff view as their most important responsibility?</p> <p>Do they view themselves as care givers or support providers?</p> <p>Are staff trained to recognize each person as an individual and to promote dignity and respect?</p> <p>Do they support people in achieving personal goals?</p> <p>Do they offer choice in services/supports?</p> <p>Do they understand confidentiality policies and protect consumer information?</p> <p>Ask staff to describe the training are they provided to assist them in performing their roles. Do they feel they are adequately prepared?</p> <p>Determine the staffs' understanding of what to do in the following situations:</p> <p>Medication assistance</p> <p>Health emergencies involving people</p> <p>Infection control</p> <p>Proper positioning</p> <p>Transportation safety</p>		<input type="checkbox"/>	<input type="checkbox"/>
---	---	---	--	--------------------------	--------------------------

## EARLY INTERVENTION INDICATORS & GUIDANCE

### Review Year July 2012 through June 2013

The Guidance is provided as a resource to assist agencies with understanding Key Indicators. The Guidance is not intended to be, nor should be, considered as the ultimate resource. It should be, as inferred by its title, a GUIDANCE designed to assist. State and Federal standards including policies and procedures are the ultimate resources for establishing the requirements for an Indicator.

E1	BabyNet Only	Guidance
E1-01	Written Prior Notice was given to the family prior to six-month update and annual IFSP	Review Service Notes, Family Training Summary Sheet, or a copy of the Written Prior Notice to ensure that the family was given their 7 days Written Prior Notice. The family may choose to have the meeting sooner than 7 days.  Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factors 1 & 2, Shared Values Factors 1, 2, & 3
E1-02	Written Prior Notice was given to the family prior to a change review of the IFSP	Review Service Notes, Family Training Summary Sheet, or a copy of the Written Prior Notice to ensure that the family was given their 7 days Written Prior Notice. The family may choose to have the meeting sooner than 7 days and this choice will be documented in the service notes or on the summary of service sheets.  Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factors 1 & 2, Shared Values Factors 1, 2, & 3
E1-03	The Parent/ Caregiver was provided a copy of the Plan	Review service notes to verify that the parent/ caregiver was provided a copy of the Plan.  Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
<b>E1-04 R</b>	<b>Individualized Family Service Plan (IFSP) is completed annually</b>	<b>If not met, document review period dates and date range out of compliance.* IFSP must be current within one year, not to exceed 180 days from the last 6 month review, if applicable. The last page must be signed by the family and the EI.</b>  <b>Source: IDEA, BabyNet Manual</b>
E1-05	IFSP six-month review was completed within 180 days of IFSP	Ensure the IFSP six-month review was completed within 180 days of the IFSP.  Source: IDEA, BabyNet Manual
E1-06	Early Childhood Outcomes (ECO) were assessed and documented on the Child Outcome Summary Form (COSF), if applicable, at exit at age three	During the process of a child closing to BabyNet, review the service notes and Child Outcome Summary Form to ensure that the process was completed and documented.  Note: If the child received six months or less of services, the ECO exit will not be required. No exit required if provider did not complete entry.  Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 8

E1-06	Early Childhood Outcomes (ECO) were assessed and documented on the Child Outcome Summary Form (COSF), if applicable, at exit at age three	<p>During the process of a child closing to BabyNet, review the service notes and Child Outcome Summary Form to ensure that the process was completed and documented.</p> <p>Note: If the child received six months or less of services, the ECO exit will not be required. No exit required if provider did not complete entry.</p> <p>Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 8</p>
E1-07	IFSP includes current information relating to vision, hearing, and all areas of development to include health	<p>Review relevant sections) of the IFSP to ensure information is current and includes therapy and developmental information.</p> <p>Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 5</p>
E1-08	All BabyNet services are listed on the Summary of Services page of the IFSP, to include amount, frequency, duration, a begin date and an end date	<p>Review the Summary of Services page of the IFSP to ensure that all BabyNet services being received are listed. (Section 13)</p> <p>Note: Must have an end date from plan to plan.</p> <p>Source: BabyNet Manual</p>
E1-09	If the child's IFSP indicates the need for more than 4 hours per month of family training, the service notes indicate that information has been sent to the Office of Children's Services for approval	<p>Review frequency of Family Training as identified on the IFSP. If the frequency noted on the plan is more than 4 hours per month of Family Training there should be documentation indicating that the file was sent to the Office of Children's Services for approval within 15 days of the plan or as identified as a need and this choice will be documented in the service notes or on the summary of service sheets.</p> <p>Source: DDSN EI Manual</p>
E1-10	Were all needs that are documented on the child's IFSP provided within 30 days of identification unless there was a child/parent driven reason why the service wasn't provided	<p>Review the IFSP and Service Notes to determine if services began within 30 days of identification, if there was a provider available.</p> <p>If no provider available, EI should make ongoing, reasonable attempts to locate a provider. Delays in service provision at the request of the family should not be considered. Delays due to the inability to locate a family or their lack of attendance at scheduled appointments should not be considered.</p> <p>Source: BabyNet Manual</p>
E1-11	Transition to other services or settings is coordinated	<p>Review IFSP, Family Training summary sheets and/or Service Notes to ensure that the Early Interventionist completed, or is the process of, any task(s) they were assigned to follow-up on during transitions such as hospital to home, BabyNet to school, home to childcare, have been identified and received follow up.</p> <p>Source: DDSN EI Manual, EI Services Provider Manual, BabyNet Manual</p>
E1-12	The Transition referral is sent to the LEA by the time the child turned 2.6 years old	<p>If the child is 2.6 years or older review Services Notes, transition page of the IFSP, and a copy of the transition referral to ensure the referral was sent by the time the child was 2.6 years old.</p> <p>Source: EI Services Provider Manual, BabyNet Manual</p>

E1-13	Transition Conference was held no later than 90 days prior to the child's third birthday	Review Service Notes, IFSP, and/or transition page of IFSP to ensure the transition conference was held 90 days prior to the child's third birthday. The parent /caregiver can choose not to have a conference.  Source: EI Services Provider Manual, BabyNet Manual
E1-14	Outcomes are based on identified needs and the team's concerns relating to the child's development	Compare relevant IFSP sections to the outcome pages to determine if the Plan indicates who should do what and where it will take place. There should only be one outcome per page. Source: EI Services Provider Manual, BabyNet Manual Supports CQL Basic Assurances Factor 8, Shared Values Factors 6, 8, 9
E1-15	Outcomes are/have been addressed by the Early Interventionist	Review Service Notes and Family Training summary sheets to determine if all outcomes have been or are being addressed by the EI. All developmental outcomes should be addressed within 3 months of that outcome identification as a need. If the outcome (s) are not being addressed, review documentation for supporting information noting why they haven't been addressed.  Source: EI Services Provider Manual, BabyNet Manual Supports CQL Shared Values Factor 8
E1-16	Assessments are completed every 6 months or as often as changes warrant	Review assessment dates on chosen assessment tool(s) and IFSP to ensure they are completed every 6 months or as changes warrant (i.e., significant improvement or regression).  Source: EI Services Provider Manual, BabyNet Manual Supports CQL Shared Values Factor 8
E1-17	Family Training is provided as documented on the IFSP Summary of Services page	The IFSP should outline the frequency of Family Training. Review the ISRs, Family Training summary sheets, IFSP Summary of Services section, to ensure that FT is provided at the frequency and duration outlined. If the frequency and duration outlined is not being provided consistently, review Service Notes and other documentation to see if the EI is attempting to follow the schedule.  Source: EI Services Provider Manual, BabyNet Manual
E1-18	Family Training summary sheets include goals and objectives for each visit as well as follow-up objectives for the next visit	Family Training summary sheets should indicate the scheduled time and date of the next visit and what the caregiver will work on with the child until the next training visit. Review Family training summary sheets to ensure that they include goals and objectives for each visit and what the caregiver will work on until the next training visit with an error rate of no more than 2 mistakes during the review period.  Source: DDSN EI Manual
E1-19 W	Entries for Family training visits include how parent /caregiver(s) participated in visit	Review Family Training summary sheets and Service Notes to ensure that the parent/caregiver participated in training sessions. To state that the parent/caregiver was present is NOT sufficient. The summary of visit should include how the parent/caregiver actively participated in the visit. Review Family training summary sheets to ensure that they include this information.  Source: DDSN EI Manual, EI Services Provider Manual

E1-20	Family Training activities should vary. Activities planned must be based on identified outcomes on the IFSP	Review the Family Training summary sheets to ensure that the activities vary in order to meet the outcomes for the child.  Source: DDSN EI Manual Supports CQL Basic Assurances Factor 8, Shared Values Factors 3, 8, & 9
E1-21	Family Training activities correspond to outcomes on the IFSP outcome pages	If not met, document review period dates and date range out of compliance.* Review goals on the IFSP outcome pages (Section 10a) and Family Training Summary sheets. Compare outcomes with Family Training activities.  Source: DDSN EI Manual, EI Services Provider Manual
E1-22	Time spent/reported preparing for a Family Training visit corresponds with the activity planned	Review Service Notes and Family Training Summary Sheets to determine if the time reported for preparing for a Family Training visit corresponds to the activities completed during the visit. For example, an EI should not report 15 minutes of "prep time" for a visit if when the EI got to the home they worked on singing songs or putting puzzles together.  Source: DDSN EI Manual
E1-23	If the Early Interventionist is unable to provide Family Training for an extended period of time (more than a month) was the family offered a choice of an alternate Early Interventionist	Review the Service Justification Form, service notes, and/or Family Training Summary Sheets to ensure the family was offered an alternate Early Interventionist to provide Family Training.  Source: IDEA, BabyNet Manual, DDSN EI Manual
E1-24	Entries are clear and are documented within 5 business days of services being rendered	Review Service Notes to ensure clarity and inclusion of name/initials of Early Interventionist. All services must be documented in the file within five business days of delivery.  Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
E1-25	All items in the record are maintained in chronological order in respective sections	Review records from all program areas that the person is involved with to determine if documents located in the respective sections of the record are maintained in chronological order.  Source: DDSN EI Manual, EI Services Provider Manual, BabyNet Manual
E1-26	Service Notes document why and how the Early Interventionist participated in meetings / appointments on the child's behalf	Review Service Notes to ensure why and how the Early Interventionist participated in the meeting/appointment. The Early Interventionist must justify why they are reporting the time that they are at the meeting/appointment. For example, it would not be appropriate for an EI to attend a Developmental Pediatrician's appointment and then report time for attending the entire appointment. It is appropriate to report time for when the EI was actively participating in the visit.  Source: DDSN EI Manual

E1-27	ISRs are present and reflect services rendered correctly	Review ISRs, Service Notes and Family Training Summary Sheets to compare documentation with reporting on ISRs.  Source: DDSN EI Manual
E1-28	BabyTrac is up to date and reflects current services being received, current IFSP date and transition conference date, if applicable	Review printed BabyTrac information and compare to the child's IFSP, service notes and family training summary sheets in the child's primary record. The system must be reviewed for consistency with documentation in the record.  Source: BabyNet Manual SCDDSN Early Intervention Manual
E1-29	If applicable, documentation in service notes indicates that the case was closed	Review service notes of a closed file to determine if it was documented that the case was being closed.
E1-30 Not included in score	Did the child receive more than 2 hours of Service Coordination in any calendar month? (except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held)	During the review period, except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held, did the child receive more than 2 hours of Service Coordination in any calendar month?  If so, document the month(s) and total amount of time for the month. For example: April 2011, 2:23; June 2011, 3:35.  Note: For Informational purposes only. Does not affect the score.

E2 BabyNet / DDSN		Guidance: Review all Plans (IFSP/FSP) in effect for the period in review
E2-01	Service Agreement signed and present in file once a need for a DDSN service has been identified	Review DDSN Service Agreement in file.  Source: DDSN EI Manual
E2-02	Intake process is completed within required time frames. (For New Consumers Only)	If not met, document review period dates and date range out of compliance. Review the date family was offered a choice of provider during the screening process (see Screening Disposition Form) and date eligibility was determined to see if intake has been completed within 3 months. If eligibility is not completed in 3 months, case must be staffed with the Early Intervention Supervisor as to a reason for delay and action taken to address the delay, if applicable. If not documented in 6 months, case must be staffed with the Executive Director, and the decision of closing the case must be documented in the service notes. Extensions in both circumstances require documentation in service notes.  Source: DDSN EI Manual
E2-03	Transition to other services or settings is coordinated	Review IFSP/FSP Family Training Summary Sheets and/or Service Notes to ensure that the Early Interventionist completed, or is the process of completing, any task(s) they were assigned to follow-up on during transitions. Examples of these transitions could include hospital to home, BabyNet to school, home to childcare, etc.  Source: IDEA, DDSN EI Manual, EI Services Provider Manual, BabyNet Manual
E2-04	Early Childhood Outcomes (ECO) were assessed and documented on the Child Outcome Summary Form (COSF), if applicable, at exit at age three	During the process of a child closing to BabyNet, review the service notes and Child Outcome Summary Form to ensure that the process was completed and documented.  Note: If the child received six months or less of services, the ECO exit will not be required.  Source: IDEA, BabyNet Manual
<b>E2-05 R</b>	<b>Individualized Family Service Plan (IFSP/FSP) is completed annually</b>	<b>IFSP/FSP must be current within one year not to exceed 180 days from the last 6 month review, if applicable The last page must be signed by the family and the EI.</b>  <b>Source: IDEA, EI Services Provider Manual, BabyNet Manual</b>
E2-06	The Parent/ Caregiver was provided a copy of the Plan	Review service notes to verify that the parent/ caregiver was provided a copy of the Plan.  Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
E2-07	IFSP/FSP six-month review was completed within 180 days of the IFSP/FSP	Ensure the IFSP/FSP six-month review was completed within 180 days of the IFSP/FSP.  Source: IDEA, BabyNet Manual
E2-08	Written Prior Notice was given to the family prior to the six-month review of the IFSP and the annual IFSP	Review service notes, Family Training Summary Sheets, or a copy of the Written Prior Notice to ensure that the family was given at least 7 days. The family may choose to have the meeting sooner than 7 days and this choice will be documented in the service notes or on the summary of service sheets. Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factors 1 & 2, Shared Values Factors 1, 2 & 3

E2-09	Written Prior Notice was given to the family prior to a change review of the IFSP	<p>Review Service Notes, Family Training Summary Sheet, or a copy of the Written Prior Notice to ensure that the family was given their 7 days written prior notice. The family may choose to have the meeting sooner than 7 days and this choice will be documented in the service notes or on the summary of service sheets.</p> <p>Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factors 1 &amp; 2, Shared Values Factors 1, 2, &amp; 3</p>
E2-10	The Choice of Early Intervention Provider is offered annually	<p>Review services notes, Family Training Summary Sheets, and the Acknowledgment of SC/EI choice form to ensure the family has been given a choice of providers and the choice is documented.</p> <p>Source: DDSN EI Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 3</p>
E2-11	IFSP/FSP includes current information relating to vision, hearing, medical, therapy, and all areas of development to include health	<p>Review relevant sections of the IFSP/FSP to ensure information is current and includes therapy and developmental information.</p> <p>Source: IDEA, BabyNet Manual Supports CQL Basic Assurances Factor 5</p>
E2-12	Outcomes are based on identified needs and the team's concerns relating to the child's development	<p>Compare relevant IFSP/FSP sections to the outcome pages to determine if the IFSP/FSP indicates who should do what and where it will take place. There should only be one goal per page.</p> <p>Source: BabyNet Manual, EI Services Provider Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 6, 8, &amp; 9</p>
E2-13	Outcomes are/have been addressed by the Early Interventionist	<p>Review Service Notes and Family Training summary sheets to determine if all outcomes have been or are being addressed by the EI. All developmental outcomes should be addressed within 3 months of identification as a need. If the outcomes(s) are not being addressed, review documentation for supporting information noting why they haven't been addressed.</p> <p>Source: EI Services Provider Manual, BabyNet Manual Supports CQL Shared Values Factor 8</p>
E2-14	The transition referral is sent to the LEA by the time the child turns 2.6 years old	<p>If the child is 2.6 years old or older, review service notes, transition page of the IFSP/FSP and a copy of the transition referral to ensure the referral was sent by the time the child was 2.6 years old.</p> <p>Source: IDEA, BabyNet Manual</p>
E2-15	Transition conference was held no later than 90 days prior to the child's third birthday	<p>Review services notes, Family Training Summary Sheets, transition page of the IFSP/FSP or transition conference form to ensure the transition conference was held 90 days prior to the child's third birthday. The parent/caregiver can chose to not have a conference.</p> <p>Source: IDEA, BabyNet Manual, EI Services Provider Manual</p>



E2-16	FSP "Other Services" section reflects the amount, frequency & duration of services being received. This section should reflect non BabyNet services (Waiver, Family Support Funds, Respite, ABC, etc)	Review FSP in effect during period in review to ensure the amount, frequency & duration of current services is included.  Source: IDEA, BabyNet Manual
E2-17	All BabyNet services are listed on the Summary of Services page of the IFSP to include amount, frequency, duration, a begin date and an end date	Review the Summary of Service page of the IFSP to ensure that all BabyNet services being received are listed.  Source: BabyNet Manual
E2-18	If the child's IFSP/FSP indicates the need for more than 4 hours per month of Family Training, the service notes indicate that information has been sent to the Office of Children's Services for approval	Review frequency of Family Training as identified on the IFSP/FSP. If the frequency noted on the IFSP/FSP is more than 4 hours per month of Family Training there should be documentation indicating that the file was sent to the Office of Children's Services for review.  Source: DDSN EI Manual
E1-19	Were all needs that are documented on the child's IFSP provided within 30 days of identification unless there was a child/parent driven reason why the service wasn't provided	Review the IFSP and Service Notes to determine if services began within 30 days of identification, if there was a provider available.  If no provider available, EI should make ongoing, reasonable attempts to locate a provider. Delays in service provision at the request of the family should not be considered. Delays due to the inability to locate a family or their lack of attendance at scheduled appointments should not be considered.  Source: BabyNet Manual
E2-20	Assessments are completed every 6 months or as often as changes warrant	Review assessment dates on chosen assessment tool(s) and IFSP/FSP to ensure they are completed every 6 months, or as changes warrant (i.e., significant improvement or regression).  Source: BabyNet Manual, EI Services Provider Manual Supports CQL Shared Values Factor 8

E2-21 W	Family Training is provided according to the frequency determined by the team and as documented in the Summary of Services section of the IFSP/FSP	<p>The IFSP/FSP should outline the frequency and duration of Family Training. Review the ISRs, Family Training summary sheets, IFSP/FSP Summary of Services section to ensure that Family Training is provided at the frequency and duration outlined. If the frequency and duration outlined is not being provided consistently, review Service Notes and other documentation to see if the EI is attempting to follow the schedule. Review Family Training summary sheets and service notes to ensure that they include this information.</p> <p>Source: BabyNet Manual, EI Services Provider Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 3, 8, &amp; 9</p>
E2-22	Family Training summary sheets include goals and objectives for each visit as well as follow-up objectives for the next visit	<p>Family Training summary sheets should indicate the scheduled time and date of the next visit and what the caregiver will work on with the child until the next training visit. Review Family Training summary sheets to ensure that they include goals and objectives for each visit as well as objectives for the next visit with an error rate of no more than 2 mistakes during the review period.</p> <p>Source: DDSN EI Manual</p>
E2-23 W	Entries for Family Training visits include how parent/caregiver(s) participated in visit	<p>Review Family Training summary sheets and Service Notes to ensure that parent/caregiver participated in training sessions. To state that the parent/caregiver was present is NOT sufficient. The summary of visit should include how the parent/caregiver actively participated in the visit. Review Family Training summary sheets to ensure that they include this information.</p> <p>Source: DDSN EI Manual</p>
E2-24	Family Training activities should vary	<p>Review the Family Training summary sheets to ensure that the activities vary in order to meet the outcomes for the child.</p> <p>Source: DDSN EI Manual</p>
E2-25	Family Training activities correspond to outcomes on the IFSP/FSP outcomes pages	<p>Review goals on the IFSP/FSP outcome pages and Family Training summary sheets. Compare outcomes with Family Training activities.</p> <p>Source: DDSN EI Manual</p>
E2-26	Time spent/reported preparing for a Family Training visit corresponds with the activity in the IFSP/FSP	<p>Review Service Notes and data sheets to determine if the time reported for preparing for a Family Training visit corresponds to the activities completed during the visit. For example, an EI should not report 15 minutes of "prep time" for a visit if when the EI got to the home they worked on singing songs or putting puzzles together.</p> <p>Source: DDSN EI Manual</p>

E2-27	If the Early Interventionist is unable to provide Family Training for an extended period of time (more than a month) was the family offered a choice of an alternate Early Interventionist	Review the Service Justification Form, service notes, and/or Family Training Summary Sheets to ensure the family was offered an alternate Early Interventionist to provide Family Training.  Source: IDEA, BabyNet Manual, DDSN EI Manual
E2-28	Entries are clear and are documented within 5 business days of services being rendered	Review Service Notes to ensure clarity and inclusion of name/initials of the Early Interventionist. All services must be documented in the file within five business days of delivery.  Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
E2-29	All items in the record are maintained in chronological order in the respective sections	Review records from all program areas that the person is involved with to determine if documents located in the respective sections of the record and are maintained in chronological order.  Source: IDEA, BabyNet Manual, DDSN EI Manual
E2-30	Service notes document why and how the Early Interventionist participated in meetings/appointments on the child's behalf	Review Service Notes to ensure why and how the Early Interventionist participated in the meeting/appointment. The Early Interventionist must justify why they are reporting the time that they are at the meeting/appointment. For example, it would not be appropriate for an EI to attend a Developmental Pediatrician's appointment and then report time for attending the entire appointment.  Source: DDSN EI Manual
E2-31	ISRs are present and reflect services rendered correctly	Review ISRs, Service Notes and Family Training Summary Sheets to compare documentation with reporting on ISRs.  Source: DDSN EI Manual, EI Services Provider Manual
E2-32	BabyTrac is up to date and reflects current services being received, current IFSP date and transition conference date, if applicable	Review printed BabyTrac information and compare to the child's IFSP, service notes and family training summary sheets in the child's primary record. The system must be reviewed for consistency with documentation in the record.  Source: BabyNet Manual SCDDSN Early Intervention Manual
E2-33	If applicable, documentation in service notes indicates that the case was closed	Review service notes of a closed file to determine if it was documented that the case was being closed.
E2-34 Not included in score	Did the child receive more than 2 hours of Service Coordination in any calendar month? (except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held)	During the review period, except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held, did the child receive more than 2 hours of Service Coordination in any calendar month?  If so, document the month(s) and total amount of time for the month. For example: April 2011, 2:23; June 2011, 3:35.  Note: For Informational purposes only. Does not affect the score.

<b>E3</b>	<b>DDSN Only</b>	<b>Guidance</b>
E3-01	Service Agreement signed and present in file	Review DDSN Service Agreement in file.  Source: DDSN EI Manual Review DDSN Service Agreement in file.
E3-02	There is a Service Justification form in the file for any child 5 years of age or older being served in Early Intervention	Review the service notes and the service justification form to ensure that approval has been granted by the Office of Children's Services for the child to remain in Early Intervention.  Source: DDSN EI Manual
E3-03	Transition to other services or settings is coordinated	Review FSP, Family Training Summary Sheets and/or Service Notes to ensure that the Early Interventionist completed, or is the process of completing, any task(s) they were assigned to follow-up on during transitions. Examples of these transitions could include hospital to home, BabyNet to school, home to childcare, etc.  Source: DDSN EI Manual, EI Services Provider Manual
E3-04	For children who are seeking DDSN eligibility, and family training is identified as a need, the Early Interventionist has 45 days from the eligibility date to complete the FSP	Review Service Notes and FSP for documentation of the completed Plan.  Source: DDSN EI Manual
<b>E3-05 R</b>	<b>Family Service Plan (FSP) is completed annually</b>	<b>FSP must be current within one year. The last page must be signed by the family and the EI.</b>  <b>Source: DDSN EI Manual, EI Services Provider Manual</b>
E3-06	The Parent/ Caregiver was provided a copy of the Plan	Review service notes to verify that the parent/ caregiver was provided a copy of the Plan.  Source: BabyNet Manual, DDSN EI Manual, EI Services Provider Manual
E3-07	FSP six-month review was completed within six months of the FSP	Ensure the FSP six-month review was completed within six months of the FSP.  Source: DDSN EI Manual
E3-08	The Choice of Early Intervention Provider is offered annually	Review service notes, Family Training Summary Sheets, and the Acknowledgment of SC/EI Choice Form to ensure the family has been given a choice of providers and the choice is documented.  Source: DDSN EI Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 3, 6, & 9

E3-09	When file is transferred from another SC/Family Training provider a new FSP is completed or the current plan is updated within 14 days	Applies only to files transferred to new providers.  Source: DDSN EI Manual
E3-10	FSP includes current information relating to vision, hearing, medical, therapy, and all areas of development to include health	Review relevant sections of the FSP to ensure information is current and includes therapy and developmental information.  Source: DDSN EI Manual
E3-11	Outcomes are based on identified needs and the team's concerns relating to the child's development	Compare relevant FSP sections to the outcome pages to determine if the Plan indicates who should do what and where it will take place. There should only be one outcome per page.  Source: DDSN EI Manual, EI Services Provider Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 6, 8, & 9
E3-12	Outcomes are/have been addressed by the Early Interventionist	Review Service Notes and Family Training summary sheets to determine if all outcomes have been or are being addressed by the EI. All developmental outcomes should be addressed within 3 months of that identification as a need. If the outcome(s) are not being addressed, review documentation for supporting information noting why they haven't been addressed.  Source: DDSN EI Manual, EI Services Provider Manual
E3-13	FSP "Other Services" reflects current services	The FSP "Other Services" worksheet must be in all EI files and must reflect current services (Waiver, Center based child care, OT, ST, PT, FT amount, frequency, and duration, Family Support Funds, Respite, ABC, etc). Changes in service delivery must be documented on the FSP.  Source: DDSN EI Manual
E3-14	If the child's FSP indicates the need for more than 4 hours per month of Family Training, the service notes indicate that information has been sent to the Office of Children's Services for approval	Review frequency of Family Training as identified on the FSP. If the frequency noted on the plan is more than 4 hours per month of Family Training there should be documentation indicating that the file was sent to the Office of Children's Services for approval.  Source: DDSN EI Manual
E3-15	Assessments are completed every 6 months, or as often as changes warrant	Review assessment dates on chosen assessment tool(s) and FSP to ensure they are completed every 6 months, or as changes warrant (i.e., significant improvement or regression).  Note: Applies to Assessments completed as of 1/1/10 Source: DDSN EI Manual, EI Services Provider Manual Supports CQL Shared Values Factor 8
E3-16 W	Family Training is provided according to the frequency determined by the	The FSP should outline the frequency and duration of Family Training. Review the ISRs, Family Training summary sheets and/or FSP "Other Services" section to ensure that Family Training is provided at the frequency and duration outlined. If the frequency and duration outlined is

	team and as documented in the Other Services section of the FSP	not being provided consistently, review Service Notes and other documentation to see if the EI is attempting to follow the schedule.  Source: DDSN EI Manual, EI Services Provider Manual Supports CQL Basic Assurances Factor 8, Shared Values Factor 3, 8, & 9
E3-17	Family Training summary sheets include goals and objectives for each visit as well as follow-up objectives for the next visit	Family Training summary sheets should indicate the scheduled time and date of the next visit and what the caregiver will work on with the child until the next training visit. Review Family Training summary sheets to ensure that they include goals and objectives for each visit as well as objectives for the next visit with an error rate of no more than 2 mistakes during the review period.  Source: DDSN EI Manual
E3-18 W	Entries for Family Training visits include how parent/caregiver(s) participated in visit	Review Family Training summary sheets and Service Notes to ensure that parent/caregiver participated in training sessions. To state that the parent/caregiver was present is NOT sufficient. The summary of visit should include how the parent/caregiver actively participated in the visit. Review Family Training summary sheets to ensure that they include this information.  Source: DDSN EI Manual
E3-19	Family Training activities should vary	Review the Family Training summary sheets to ensure that the activities vary in order to meet the outcomes for the child.  Source: DDSN EI Manual
E3-20	Family Training activities correspond to outcome on the FSP outcome pages	Review outcome and Family Training Summary Sheets. Compare outcomes with Family Training activities  Source: DDSN EI Manual. EI Services Provider Manual
E3-21	Time spent/reported preparing for a Family Training visit corresponds with the activity planned	Review Service Notes and Family Training Summary Sheets to determine if the time reported for preparing for a Family Training visit corresponds to the activities completed during the visit. For example, an EI should not report 15 minutes of "prep time" for a visit if when the EI got to the home they worked on singing songs or putting puzzles together.  Source: DDSN EI Manual
E3-22	If less than 2 hours per month of Family Training is identified on the FSP there is an approved Service Justification Form in the the file	Review the FSP Other services section to determine the frequency of Family Training. If the need for Family Training is less than 2 hours per month there must be a service justification form present and signed by the Supervisor.  Source: DDSN EI Manual

E3-23	If the Early Interventionist is unable to provide Family Training for an extended period of time (more than a month) was the family offered a choice of an alternate Early Interventionist	Review the Service Justification Form, service notes, and/or Family Training Summary Sheets to ensure the family was offered an alternate Early Interventionist to provide Family Training.  Source: DDSN EI Manual
E3-24	Entries are clear and are documented within 5 business days of services being rendered	Review Service Notes to ensure clarity and inclusion of name/initials of the Early Interventionist. All services must be documented in the file within five business days of delivery.  Source: DDSN EI Manual. EI Services Provider Manual
E3-25 W	All items in the record are maintained in chronological order in the respective sections	Review records from all program areas that the person is involved with to determine if documents located in the respective sections of the record are maintained in chronological order.  Source: DDSN EI Manual. EI Services Provider Manual
E3-26	Service notes document why and how the Early Interventionist participated in meetings/appointments on the child's behalf	Review Service Notes to ensure why and how the Early Interventionist participated in the meeting/appointment. The Early Interventionist must justify why they are reporting the time that they are at the meeting/appointment. For example, it would not be appropriate for an EI to attend a Developmental Pediatrician's appointment and then report time for attending the entire appointment.  Source: DDSN EI Manual
E3-27	ISRs are present and reflect services rendered correctly	Review ISRs, Service Notes and Family Training Summary Sheets to compare documentation with reporting on ISRs.  Source: DDSN EI Manual. EI Services Provider Manual
E3-28	If applicable, documentation in service notes indicates that the case was closed	Review service notes of a closed file to determine if it was documented that the case was being closed.
E3-29 Not included in score	Did the child receive more than 2 hours of Service Coordination in any calendar month? (except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held)	During the review period, except for the months in which an <u>initial plan</u> , <u>annual plan</u> , or <u>transition conference</u> were held, did the child receive more than 2 hours of Service Coordination in any calendar month?  If so, document the month(s) and total amount of time for the month. For example: April 2011, 2:23; June 2011, 3:35.  Note: For Informational purposes only. Does not affect the score.